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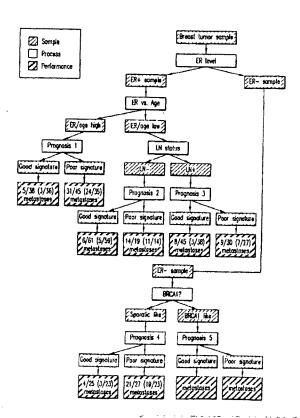
- (71) Applicants (for all designated States except US): ROSETTA INPHARMATICS LLC [US/US]; 401 Terry Avenue North, Seattle, Washington 98108 (US). MERCK & CO., INC. [US/US]; 126 East Lincoln Avenue, Rahway, New Jersey 07065 (US).
- (72) Inventors; and
- (75) Inventors/Applicants (for US only): DAI, Hongyue [CN/US]; 16814 118th Avenue N.e., Bothell, Washington

98011 (US). FRIEND, Stephen, H [US/US]; 101 W. Mermaid Lane, Philadelphia, Pennsylvania 19118 (US). DEUTSCH, Paul [US/US]; 50 Maybury Hill Road, Princeton, New Jersey 08540 (US).

- (74) Agents: ANTLER, Adriane, M. et al.; JONES DAY, 222 East 41st Street, New York, New York 10017-6702 (US).
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# (54) Title: METHODS OF PREDICTING CHEMOTHERAPY RESPONSIVENESS IN BREAST CANCER PATIENTS



(57) Abstract: The invention provides a method of predicting the responsiveness of a breast cancer patient to chemotherapy based on the patient's cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from the patient, the patient's estrogen receptor level, and the patient's estrogen receptor level relative to the patient's age. The invention also provides a method for selecting patients for enrollment in a clinical trial of a drug for treating breast cancer based on these factors.

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# METHODS OF PREDICTING CHEMOTHERAPY RESPONSIVENESS IN BREAST CANCER PATIENTS

This application claims benefit of U.S. Provisional Patent Application No. 60/650,365, filed on February 4, 2005, which is incorporated by reference herein in its entirety.

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#### 1. FIELD OF THE INVENTION

The present invention relates to a method of predicting chemotherapy responsiveness in breast cancer patients. The invention also relates to a method of selecting patients for enrollment in clinical trials of breast cancer drugs.

#### 2. BACKGROUND OF THE INVENTION

The increased number of cancer cases reported in the United States, and, indeed, around the world, is a major concern. Currently there are only a handful of treatments available for specific types of cancer, and these provide no guarantee of success. In order to be most effective, these treatments require not only an early detection of the malignancy, but a reliable assessment of the severity of the malignancy.

The incidence of breast cancer, a leading cause of death in women, has been gradually increasing in the United States over the last thirty years. Its cumulative risk is relatively high; 1 in 8 women are expected to develop some type of breast cancer by age 85 in the United States. In fact, breast cancer is the most common cancer in women and the second most common cause of cancer death in the United States. In 1997, it was estimated that 181,000 new cases were reported in the U.S., and that 44,000 people would die of breast cancer (Parker et al., CA Cancer J. Clin. 47:5-27 (1997); Chu et al., J. Nat. Cancer Inst. 88:1571-1579 (1996)). While mechanism of tumorigenesis for most breast carcinomas is largely unknown, there are genetic factors that can predispose some women to developing breast cancer (Miki et al., Science, 266:66-71(1994)).

Sporadic tumors, those not currently associated with a known germline mutation, constitute the majority of breast cancers. It is also likely that other, non-genetic factors also have a significant effect on the etiology of the disease. Regardless of the cancer's origin, breast cancer morbidity and mortality increases significantly if it is not detected early in its

progression. Thus, considerable effort has focused on the early detection of cellular transformation and tumor formation in breast tissue.

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A marker-based approach to tumor identification and characterization promises improved diagnostic and prognostic reliability. Typically, the diagnosis of breast cancer requires histopathological proof of the presence of the tumor. In addition to diagnosis, histopathological examinations also provide information about prognosis and selection of treatment regimens. Prognosis may also be established based upon clinical parameters such as tumor size, tumor grade, the age of the patient, and lymph node metastasis.

Diagnosis and/or prognosis may be determined to varying degrees of effectiveness by direct examination of the outside of the breast, or through mammography or other X-ray imaging methods (Jatoi, Am. J. Surg. 177:518-524 (1999)). The latter approach is not without considerable cost, however. Every time a mammogram is taken, the patient incurs a small risk of having a breast tumor induced by the ionizing properties of the radiation used during the test. In addition, the process is expensive and the subjective interpretations of a technician can lead to imprecision. For example, one study showed major clinical disagreements for about one-third of a set of mammograms that were interpreted individually by a surveyed group of radiologists. Moreover, many women find that undergoing a mammogram is a painful experience. Accordingly, the National Cancer Institute has not recommended mammograms for women under fifty years of age, since this group is not as likely to develop breast cancers as are older women. It is compelling to note, however, that while only about 22% of breast cancers occur in women under fifty, data suggests that breast cancer is more aggressive in pre-menopausal women.

In clinical practice, accurate diagnosis of various subtypes of breast cancer is important because treatment options, prognosis, and the likelihood of therapeutic response all vary broadly depending on the diagnosis. Accurate prognosis, or determination of distant metastasis-free survival could allow the oncologist to tailor the administration of adjuvant chemotherapy, with women having poorer prognoses being given the most aggressive treatment. Furthermore, accurate prediction of poor prognosis would greatly impact clinical trials for new breast cancer therapies, because potential study patients could then be stratified according to prognosis. Trials could then be limited to patients having poor prognosis, in turn making it easier to discern if an experimental therapy is efficacious.

To date, no set of satisfactory predictors for prognosis based on the clinical information alone has been identified. Many have observed that the ER status has a dominant signature in the breast tumor gene expression profiling. See West et al., Proc. Natl. Acad. Sci. U.S.A. 98:11462 (2001); van 't Veer et al., Nature 415:530 (2002); Sorlie et al., Proc. Natl. Acad. Sci. U.S.A. 100:8418 (2003); Perou et al., Nature 406:747 (2000); Gruvberger et al., Cancer Res. 61:5979 (2001); Sotiriou et al., Proc. Natl. Acad. Sci. U.S.A. 100:10393 (2003). It is generally accepted that there is some relationship between patient survival and ER status. van de Vijver et al., N. Engl. J. Med. 347:1999 (2002); Surowiak et al, Folia Histochem. Cytobiol. 39:143 (2001); Pichon et al., Br. J. Cancer 73:1545 (1996); Collett et al., J. Clin. Pathol. 49:920 (1996). BRCA1 mutations are related to the familial cancer susceptibility. Biesecker et al., JAMA 269:1970 (1993); Easton et al., Cancer Surv. 18:95 (1993). Age is also considered to be a prognosis factor since young cancer patients tend to have poor tumors. Maggard et al., J. Surg. Res. 113:109 (2003). Lymph node status is a factor in deciding the treatment. Eifel et al., J. Natl. Cancer Inst. 93:979 (2001).

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The discovery and characterization of *BRCA1* and *BRCA2* has recently expanded our knowledge of genetic factors which can contribute to familial breast cancer. Germ-line mutations within these two loci are associated with a 50 to 85% lifetime risk of breast and/or ovarian cancer (Casey, *Curr. Opin. Oncol.* 9:88-93 (1997); Marcus *et al.*, *Cancer* 77:697-709 (1996)). Only about 5% to 10% of breast cancers, however, are associated with breast cancer susceptibility genes, *BRCA1* and *BRCA2*. The cumulative lifetime risk of breast cancer for women who carry the mutant *BRCA1* is predicted to be approximately 92%, while the cumulative lifetime risk for the non-carrier majority is estimated to be approximately 10%. *BRCA1* is a tumor suppressor gene that is involved in DNA repair and cell cycle control, which are both important for the maintenance of genomic stability. More than 90% of all mutations reported so far result in a premature truncation of the protein product with abnormal or abolished function. The histology of breast cancer in *BRCA1* mutation carriers differs from that in sporadic cases, but mutation analysis is the only way to find the carrier. Like *BRCA1*, *BRCA2* is involved in the development of breast cancer, and like *BRCA1* plays a role in DNA repair. However, unlike *BRCA1*, it is not involved in ovarian cancer.

Other genes have been linked to breast cancer, for example c-erb-2 (*HER2*) and p53 (Beenken *et al.*, *Ann. Surg.* 233(5):630-638 (2001). Overexpression of c-erb-2 (*HER2*) and p53 have been correlated with poor prognosis (Rudolph *et al.*, *Hum. Pathol.* 32(3):311-319

(2001), as has been aberrant expression products of mdm2 (Lukas et al., Cancer Res. 61(7):3212-3219 (2001) and cyclin1 and p27 (Porter & Roberts, International Publication WO98/33450, published August 6, 1998).

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The detection of BRCA1 or BRCA2 mutations represents a step towards the design of therapies to better control and prevent the appearance of these tumors. Recently, many studies have used gene expression profiling to analyze various cancers, and those studies have provided new diagnosis and prognosis information in the molecular level. See Zajchowski et al., "Identification of Gene Expression Profiled that Predict the Aggressive Behavior of Breast Cancer Cells," Cancer Res. 61:5168 (2001); West et al., "Predicting the Clinical Status of Human Breast Cancer by Using Gene Expression Profiles," Proc. Natl. 10 Acad. Sci. U.S.A. 98:11462 (2001); van 't Veer et al., "Gene Expression Profiling Predicts the Outcome of Breast Cancer," Nature 415:530 (2002); Roberts et al., "Diagnosis and Prognosis of Breast Cancer Patients," WO 02/103320; Sorlie et al., Proc. Natl. Acad. Sci. U.S.A. 100:8418 (2003); Perou et al., Nature 406:747 (2000); Khan et al., Cancer Res 58, 5009 (1998); Golub et al., Science 286, 531 (1999); DeRisi et al., Nat. Genet. 14:457 (1996); Alizadeh et al., Nature 403, 503 (2000). Methods for the identification of informative genesets for various cancers have also been described. See Roberts et al., "Diagnosis and Prognosis of Breast Cancer Patients," WO 02/103320; Golub et al., United States Patent No. 6,647,341.

20 Genesets have been identified that are informative for differentiating individuals having, or suspected of having, breast cancer based on estrogen receptor (ER) status, or BRCA1 mutation vs. sporadic (i.e., other than BRCA1-type) mutation status. See Roberts et al., WO 02/103320; van't Veer et al., Nature 415:530 (2001). Genesets have also been identified that enable the classification of sporadic tumor-type individuals as those who will likely have no metastases within five years of initial diagnosis (i.e., individuals with a good 25 prognosis) or those who will likely have a metastasis within five years of initial diagnosis (i.e., those having a poor prognosis). Roberts, supra; van't Veer, supra.

Roberts et al. WO 02/103320 and van de Vijver et al., N. Engl. J. Med. 347:1999 (2002) describe a 70-gene set, useful for the prognosis of breast cancer, which outperformed clinical measures of prognosis, and which showed good potential in selecting good outcome patients, thereby avoiding over-treatment. The expression of genes with most predictive

value, however, was not homogeneous among poor patients, suggesting the need for improvement.

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Although the patterns of gene expression as described in Roberts et al. were correlated with existing clinical indicators such as estrogen receptor and BRCA1 status, clinical measures were not incorporated. Furthermore, although the poor-outcome group in particular showed heterogeneity in expression pattern, the best classifier decision rule found during these studies was a fairly simple one based on the similarity of a patient profile to the average profile of a good-outcome training group.

It is evident that breast cancer is the result of more than one type of molecular event. Likewise, a variety of other conditions, such as other cancers; non-cancer diseases such as diabetes, autoimmune or neurodegenerative disorders, obesity; etc., are also the result of more than one molecular event. Moreover, an individual's response to exposure to particular environmental conditions, for example, exposure to natural or man-made agents, such as toxins, pollutants, drugs, food additives, etc., likely result from more than one molecular event. Thus, there exists a need for improved prognostic methods so that appropriate courses of prophylaxis and/or therapy may be provided. Genesets having improved prognostic power can be identified by first identifying discrete subsets of individuals based on genotypic or phenotypic characteristics relevant to the disease or condition, and then identifying genesets informative for prognosis within those subsets of patients. Individuals having the condition, or who are suspected of having the condition, such as breast cancer, would then be provided therapies appropriate to the molecular mechanisms underlying the condition. The present invention provides such methods for breast cancer, and for other cancers, diseases or conditions.

#### 3. SUMMARY OF THE INVENTION

The present invention provides a method for predicting responsiveness of a breast cancer patient to chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method

comprising predicting said patient to exhibit (a) enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER+, and said ER/AGE is low; or (b) reduced response to chemotherapy as compared to patients in the general population of breast cancer patients if (i) said ER level is ER, or (ii) said cellular constituent profile is a poor prognosis profile, and said ER level is ER+, and said ER/AGE is high; wherein said cellular constituent profile is classified as a poor prognosis profile if said cellular constituent profile has a low similarity to a good prognosis template or has a high similarity to a poor prognosis template, said good prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of good outcome patients and said poor prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of poor outcome patients, wherein a good outcome patient is a breast cancer patient who has non-occurrence of metastases within a first period of time after initial diagnosis and a poor outcome patient is a patient who has occurrence of metastases within a second period of time after initial diagnosis.

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In one embodiment, said cellular constituent profile is determined as a poor prognosis profile, and said ER level is determined as ER<sup>+</sup>, and said ER/AGE is determined as low, and said patient is predicted to have enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients. In another embodiment, said cellular constituent profile is determined as a poor prognosis profile, said ER level is determined as ER<sup>+</sup>, and said ER/AGE is determined as high, and said patient is predicted to have reduced response to chemotherapy as compared to patients in the general population of breast cancer patients. In still another embodiment, said ER level is determined as ER<sup>-</sup>, and said patient is predicted to have reduced response to chemotherapy as compared to patients in the general population of breast cancer patients.

The invention also provides a method for selecting a patient for enrollment in a clinical trial of a drug for treating breast cancer based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said

ER/AGR being a metric of said ER level relative to the age of said patient, said method comprising selecting a patient for inclusion in said clinical trial if (a) said ER level is ER; or (b) said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high; wherein said cellular constituent profile is classified as a poor prognosis profile if said cellular constituent profile has a low similarity to a good prognosis template or has a high similarity to a poor prognosis template, said good prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of good outcome patients and said poor prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of poor outcome patients, wherein a good outcome patient is a breast cancer patient who has non-occurrence of metastases within a first period of time after initial diagnosis and a poor outcome patient is a breast cancer patient who has occurrence of metastases within a second period of time after initial diagnosis.

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In one embodiment, said ER level is determined as ER, and said patient is selected. In another embodiment, said cellular constituent profile is determined as a poor prognosis profile, said ER level is determined as ER, and said ER/AGE is determined as high, and said patient is selected.

The invention also provides a method for identifying a breast cancer patient as a good or poor candidate for chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method comprising (a) determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is low, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER and said ER/AGE is low, said breast cancer patient is identified as a good candidate for chemotherapy; or (b) determining whether said ER level is ER, whereby if said ER level is ER, said the breast cancer patient is identified as a poor candidate for chemotherapy; or (c) determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER

and said ER/AGE is high, said breast cancer patient is identified as a poor candidate for chemotherapy.

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In one embodiment, said cellular constituent profile is determined as a poor prognosis profile, said ER level is determined as ER<sup>+</sup>, and said ER/AGE is determined as low, and said breast cancer patient is identified as a good candidate for chemotherapy. In another embodiment, said ER level is determined as ER<sup>-</sup>, and said the breast cancer patient is identified as a poor candidate for chemotherapy. In still another embodiment, said cellular constituent profile is determined as a poor prognosis profile, said ER level is determined as ER<sup>+</sup>, and said ER/AGE is determined as high, and said breast cancer patient is identified as a poor candidate for chemotherapy.

In embodiments of the methods of the invention, said first period is 10 years and said second period is 10 years. In another embodiment, said patient is under the age of 55, and wherein each said good outcome patient and each said poor outcome patient are under the age of 55 at time of diagnosis of breast cancer.

In one embodiment, any one of the methods of the invention further comprises determining said cellular constituent profile, said ER level, and/or, said ER/AGE.

In another embodiment, in any one of the methods of the invention said cellular constituent profile comprises measurements of a plurality of transcripts in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of poor outcome patients.

In one embodiment, said cellular constituent profile is a differential expression profile comprising differential measurements of said plurality of transcripts in said sample derived from said patient versus measurements of said plurality of transcripts in a control sample. In one embodiment, said differential measurements is selected from the group consisting of xdev, log(ratio), error-weighted log(ratio), and mean subtracted log(intensity).

In another embodiment, said cellular constituent profile comprises measurements of a plurality of protein species in a sample derived from said patient, wherein said good

prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of poor outcome patients.

In one embodiment, measurement of each said transcript in said good prognosis template is an average of expression levels of said transcript in said plurality of good outcome patients.

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In one embodiment, similarity of said cellular constituent profile to said good prognosis template is represented by a correlation coefficient between said cellular constituent profile and said good prognosis template, wherein said correlation coefficient greater than a correlation threshold, e.g., 0.5, indicates a high similarity and said correlation coefficient equal to or less than said correlation threshold indicates a low similarity.

In another embodiment, similarity of said cellular constituent profile to said good prognosis template is represented by a distance between said cellular constituent profile and said good prognosis template, wherein said distance less than a given value indicates a high similarity and said distance equal to or greater than said given value indicates a low similarity.

In one embodiment, said ER level is determined by measuring an expression level of a gene encoding said estrogen receptor in said patient relative to expression level of said gene in said control sample, and wherein said ER level is classified as ER<sup>+</sup> if log10(ratio) of said expression level is greater than -0.65, and wherein said ER level is classified as ER<sup>-</sup> if log10(ratio) of said expression level is equal to or less than -0.65. In one embodiment, said gene encoding said estrogen receptor is the estrogen receptor  $\alpha$  gene.

In one embodiment, said ER/AGE is classified as high if said ER level as measured by log10(ratio) is greater than  $c \cdot (AGE - d)$ , and wherein said ER/AGE is classified as low if said ER level is equal to or less than  $c \cdot (AGE - d)$ , wherein c is a coefficient, AGE is the age of said patient, and d is an age threshold.

In one embodiment, said estrogen receptor level is measured by an oligonucleotide probe that detects a transcript corresponding to the gene having accession number

NM\_000125, wherein said control sample is a pool of breast cancer cells of different patients, and wherein c = 0.1 and d = 42.5.

In one embodiment, said control sample is generated by pooling together cDNAs of said plurality of transcripts from a plurality of breast cancer patients. In another embodiment, said control sample is generated by pooling together synthesized cDNAs of said plurality of transcripts and said transcript of said gene encoding said estrogen receptor.

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In one embodiment, said plurality of transcripts consists of transcripts corresponding to at least a portion of the set of genes listed in Table 8. In another embodiment, said plurality of transcripts consists of all transcripts corresponding to genes listed in Table 8.

In one embodiment, said chemotherapy is carried out using the CMF combination consisting of cyclophosphamide, methotrexate, and 5-fluorouracil.

The invention also provides a computer system comprising a processor, and a memory coupled to said processor and encoding one or more programs that cause the processor to carry out any one of the methods of the invention.

The invention also provides computer program product for use in conjunction with a computer having a processor and a memory connected to the processor, said computer program product comprising a computer readable storage medium having a computer program mechanism encoded thereon, which computer program mechanism may be loaded into the memory of said computer and cause said computer to carry out any one of the methods of the invention.

The invention also provides a method for predicting responsiveness of a breast cancer patient to chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method comprising predicting said patient to exhibit (a) enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER<sup>+</sup>, and said ER/AGE is

low; or (b) reduced response to chemotherapy as compared to patients in the general population of breast cancer patients if (i) said ER level is ER, or (ii) said cellular constituent profile is a poor prognosis profile, and said ER level is ER, and said ER/AGE is high, wherein said cellular constituent profile is classified as a good prognosis profile if said cellular constituent profile predicts non-occurrence of metastases in said breast cancer patient within a predetermined period of time after initial diagnosis, and wherein said cellular constituent profile is classified as a poor prognosis profile if said cellular constituent profile predicts occurrence of metastasis within said predetermined period of time. In one embodiment, the predetermined period of time is 5 or 10 years.

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In one embodiment, said cellular constituent profile comprises measurements of a plurality of transcripts in a sample derived from said patient. In another embodiment, said cellular constituent profile is a differential expression profile comprising differential measurements of said plurality of transcripts in said sample derived from said patient versus measurements of said plurality of transcripts in a control sample. In one embodiment, said control sample is generated by pooling together synthesized cDNAs of said plurality of transcripts.

In a preferred embodiment, said plurality of transcripts consists of transcripts corresponding to at least a portion, e.g., at least 5, 10, 40, 50 or all, of the genes listed in Table 8.

In one embodiment, said cellular constituent profile is classified as a good prognosis profile or a poor prognosis profile using an artificial neural network, which receives said cellular constituent profile as an input and generates an output comprising data indicating whether said cellular constituent profile is a good prognosis profile or a poor prognosis profile.

In another embodiment, said cellular constituent profile is classified as a good prognosis profile or a poor prognosis profile using a supporting vector machine, which receives said cellular constituent profile as an input and generates an output comprising data indicating whether said cellular constituent profile is a good prognosis profile or a poor prognosis profile.

#### 4. BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 depicts the decision tree that resulted in the five patient subsets used to identify informative prognosis-related genes.

FIG. 2 shows the relationship between ER level and age. (A) Scatter plot of ER vs. age for ER+ patients. Black dots indicate metastases free samples, and gray dots indicate metastases samples. It appears that patients of ER+ group can be subdivided into "ER+, ER/AGE high" group (above the black line) and "ER+, ER/AGE low" (below the black line) group. The black line is approximated by ER = 0.1\*(AGE-42.5), and the dashed line by ER = 0.1\*(age-50). Within each population, the ER level also increases with age. (B) Age distribution of all patients in ER+ samples. A bimodal distribution is observed. (C) ER-modulated age (age -10\*) distribution of all patients in ER+ samples with metastasis. (E) ER-modulated age distribution of samples with metastasis. The three peaks appearing in this distribution suggest a polymorphism.

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- FIG. 3. Performance of classifier for the "ER-/sporadic" group. (A) Error rate obtained from leave-one-out cross validation (LOOCV) for predicting the disease outcome as a function of the number of reporter genes used in the classifier. (B) Scatter plot between correlation to good group (X axis) and to poor group (Y axis). Circles indicate metastases-free samples, squares indicate samples with metastases. Dashed line: threshold for separating poor from good. (C) Error rate calculated with respect to good outcome group (good outcome misclassified as poor divided by total number of good), or poor outcome group (poor outcome misclassified as good divided by total number of poor), or the average of the two rates.
- FIG. 4. Performance of classifier for the "ER+, ER/AGE high" group. (A) Error rate obtained from leave-one-out cross validation (LOOCV) for predicting the disease outcome as a function of the number of reporter genes used in the classifier. (B) Scatter plot between correlation to good group (X axis) and to poor group (Y axis). Circles indicate metastases-free samples, and squares indicate samples with metastases. Dashed line: threshold for separating poor from good. (C) Error rate calculated with respect to good outcome group (good outcome misclassified as poor divided by total number of good), or poor outcome group (poor outcome misclassified as good divided by total number of poor), or the average of the two rates.
- FIG. 5. Performance of classifier for the "ER+, ER/AGE low/LN" group. (A) Error rate obtained from leave-one-out cross validation (LOOCV) for predicting the disease outcome as a function of the number of reporter genes used in the classifier. (B) Scatter plot

between correlation to good group (X axis) and to poor group (Y axis). Circles indicate metastases-free samples, and squares indicates samples with metastases. Dashed line indicates the threshold for separating poor from good. (C) Error rate calculated with respect to good outcome group (good outcome misclassified as poor divided by total number of good), or poor outcome group (poor outcome misclassified as good divided by total number of poor), or the average of the two rates.

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- FIG. 6. Performance of classifier for the "ER+, ER/AGE low/LN+" group. (A) Error rate obtained from leave-one-out cross validation (LOOCV) for predicting the disease outcome as a function of the number of reporter genes used in the classifier. (B) Scatter plot between correlation to good group (X axis) and to poor group (Y axis). Circles indicate metastases free samples, squares indicate samples with metastases. Dashed line: threshold for separating poor from good. (C) Error rate calculated with respect to good outcome group (good outcome misclassified as poor divided by total number of good), or poor outcome group (poor outcome misclassified as good divided by total number of poor), or the average of the two rates.
- FIG. 7. Performance of classifier for the "ER", BRCA1" group. (A) Error rate obtained from leave-one-out cross validation (LOOCV) for predicting the disease outcome as a function of the number of reporter genes used in the classifier. (B) Scatter plot between correlation to good group (X axis) and to poor group (Y axis). Circles indicate metastases free samples, squares indicate samples with metastases. Dashed line: threshold for separating poor from good. (C) Error rate calculated with respect to good outcome group (good outcome misclassified as poor divided by total number of good), or poor outcome group (poor outcome misclassified as good divided by total number of poor), or the average of the two rates.
- FIG. 8. Heatmaps of genes representing key biological functions in subgroups of patients: A: Cell cycle genes are predictive of outcome in patients with ER/age high. B: Cell cycle genes are not predictive of outcome in "ER- and sporadic" patients C: Glycolysis genes are predictive of outcome in patients with ER/age low and LN-. D: Glycolysis genes are not predictive of outcome in "ER- & BRCA1" patients.
- FIG. 9 shows metastasis free probability for the entire set of breast cancer patients younger than 55 years of age, with or without chemotherapy.

FIG. 10 shows the effect of chemotherapy in (a) patients with "good signature" as predicted by the "70 gene" classifier, and (b) patients with "poor signature".

FIG. 11 shows the effect of chemotherapy in (a) ER- patients, and (b) ER+ patients with "poor signature".

FIG. 12 ER+ patients are divided into "ER/age high" (above the line) and "ER/age low" (below the line) group according to their ER expression level relative to patient age at diagnosis. The ER expression level is measured by gene expression array. The control channel is the pool of all breast cancer samples. The line is represented as y = 0.1\*(x-42.5).

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FIG. 13 shows the effect of chemotherapy in "poor signature" patients in (a) "ER/age high" group, and (b) "ER/age low" group.

#### 5. DETAILED DESCRIPTION OF THE INVENTION

The invention provides a method of predicting the responsiveness of a breast cancer patient to chemotherapy based on the patient's cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from the patient, the patient's estrogen receptor level (hereinafter designated as "ER level"), and the patient's estrogen receptor level relative to the patient's age (hereinafter designated as "ER/AGE"). In the method of the invention, a patient is classified into an appropriate chemotherapy responsiveness group as compared to patients in the general population of breast cancer patients. The inventors have discovered that, among patients whose cellular constituent profile indicates poor prognosis, a patient's responsiveness to chemotherapy depends not only on the patient's ER level, but also on the change of the ER level with age. The inventors have found that patients who show high ER level at an earlier age (thus a high ER/AGE) show little response to chemotherapy, whereas patients who show high ER level at later age (thus a low ER/AGE) show increased response to chemotherapy. In particular, the inventors have found that a patient exhibits enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if the patient's cellular constituent profile indicates poor prognosis, and the patient's ER level is ER<sup>+</sup>, and the patient's estrogen receptor level relative to the patient's age ER/AGE is low, whereas a patient exhibits reduced response to chemotherapy as compared to patients in the general population if (i) the patient's ER level is ER, or (ii) the patient's cellular constituent profile indicates poor prognosis, and the patient's ER level is ER<sup>+</sup>, and the patient's estrogen receptor level relative to the patient's

age ER/AGE is high. Herein, ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level. In addition, the inventors have also found that if a patient's cellular constituent profile indicates a good prognosis, then the patient does not need chemotherapy. The method of the invention is particularly useful for predicting the responsiveness of a breast cancer patient under the age of 55.

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The invention also provides a method for selecting patients for enrollment in a clinical trial of a drug for treating breast cancer based on each patient's cellular constituent profile, the patient's estrogen receptor level, and the patient's estrogen receptor level relative to the patient's age. In the method of the invention, patients having reduced responsiveness to chemotherapy as compared to patients in the general population of breast cancer patients are preferably selected for inclusion in a clinical trial. In one embodiment, a patient who has either ER<sup>-</sup> or a combination of (a) poor prognosis, (b) ER<sup>+</sup>, and (c) ER/AGE high are selected for inclusion in the trial. Such patients are predicted not to exhibit significant response to chemotherapy, and thus are good candidates in determining efficacy of a new breast cancer drug.

Patient groups can be classified according to at least one of age, lymph node (LN) status, estrogen receptor (ER) level, and BRCA1 mutation status into discrete patient subsets. These clinical factors have been implicated in tumor etiology as well as differences in disease outcome. These characteristics are not limiting; other genotypic or phenotypic characteristics of breast cancer, for example, tumor grade, tumor size, tumor cell type, etc., may be used, alone or in combination with those listed herein, in order to classify individuals. The differences in gene expression or in tumor fate related to these parameters likely represent differences in tumor origin and tumor genesis, and are therefore good candidates for tumor stratification. Genesets informative for prognosis within each subset are then identified. New breast cancer patients are then classified using the same criteria, and a prognosis is made based on the geneset specific for the patient subset into which the patient falls. In the process of constructing a prognosis classifier within each patient subset, particular attention is paid to the homogeneous patterns related to the tumor outcome. Emergence of such homogeneous prognosis patterns may indicate the most common mechanism to metastasis within a subset. At the same time, successful identification of such patterns also justifies the parameters being used for the tumor stratification. To differentiate this approach from an mRNA-alone

approach, we refer to the current approach of integrating clinical data with the gene expression data as a "comprehensive prognosis".

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The measurements in the cellular constituent profiles can be any suitable measured values of the cellular constituents, e.g., measurements of the expression levels of genes. The measurement of the expression level of a gene can be direct or indirect, e.g., directly of abundance levels of RNAs or proteins or indirectly, by measuring abundance levels of cDNAs, amplified RNAs or DNAs, proteins, or activity levels of RNAs or proteins, or other molecules (e.g., a metabolite) that are indicative of the foregoing. In one embodiment, the profile comprises measurements of abundances of the transcripts of the marker genes. The measurements of transcripts can be direct (of the transcripts themselves) or indirect (of, e.g., their cDNAs). The measurement of abundance can be a measurement of the absolute abundance of a gene product. The measurement of abundance can also be a value representative of the absolute abundance, e.g., a normalized abundance value (e.g., an abundance normalized against the abundance of a reference gene product) or an averaged abundance value (e.g., average of abundances obtained at different time points or from different tumor cell samples from the patients, or average of abundances obtained using different probes, etc.), or a combination of both. As an example, the measurement of abundance of a gene transcript can be a value obtained using an Affymetrix® GeneChip® to measure hybridization to the transcript.

In another embodiment, the expression profile is a differential expression profile comprising differential measurements of a plurality of transcripts in a sample derived from the patient versus measurements of the plurality of transcripts in a reference sample, e.g., a cell sample of normal cells. Each differential measurement in the profile can be but is not limited to an arithmetic difference, a ratio, or a log(ratio). As an example, the measurement of abundance of a gene transcript can be a value for the transcript obtained using a cDNA or ink-jet polynucleotide array in a two-color measurement.

As used herein, "BRCA1 tumor" or "BRCA1 type" means a tumor having cells containing a mutation of the BRCA1 locus.

A "patient subset" is a group of individuals, all of whom have a particular condition, or are subject to a particular condition, which is distinguished from other individuals having that condition by one or more phenotypic, genotypic or clinical characteristics of the

condition, or of a response to the condition. For example, where the condition is breast cancer, individuals may belong to an "ER" or an "ER" patient subset, or may belong to a particular age group patient subset.

A gene and/or marker is "informative" for a condition, phenotype, genotype or clinical characteristic if the expression of the gene or marker is correlated or anticorrelated with the condition, phenotype, genotype or clinical characteristic to a greater degree than would be expected by chance.

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The patient's estrogen receptor level relative to the patient's age can be measured using an appropriate metric designated as ER/AGE. An individual of a given age can be classified as "ER/AGE high" if the individual's ER level is higher than a threshold value for the given age. The threshold can be age-dependent, i.e., a different threshold for each different age. In one embodiment, the age-dependent threshold value is calculated as c (AGE - d), where c is a coefficient, AGE is the age of the patient, and d is an age threshold. The parameters c and d depend on the particular measures and/or units of the ER level and AGE. They can be determined by fitting patients' ER level-age distribution to a bimodal distribution of two subgroups each having a different ER level-age dependence. In a specific embodiment, c = 0.1 and d = 42.5 is used for ER levels represented by a log(ratio) of ER expression level. Thus, for example, the threshold for a 45-year old individual in this embodiment is 0.1 (45-42.5), or 0.25, and if the log(ratio) of ER expression level of the individual is equal to or greater than 0.25, the individual is classified as "ER/AGE high"; otherwise, the individual is classified as "ER/AGE low."

#### 5.1 <u>IDENTIFICATION OF DIAGNOSTIC AND PROGNOSTIC MARKER SETS</u>

The sets of genes and/or markers that can be used in conjunction with the present invention for diagnosis and/or prognosis of breast cancer can be identified using methods described in this section. In preferred embodiments, the method involves first stratifying breast cancer patients according to phenotypic, genotypic and/or clinical parameters into subsets, and then identifying markers that discriminate diagnosis and/or prognosis in each subsets.

#### 5.1.1 <u>IDENTIFICATION OF CONDITION SUBSETS</u>

In one embodiment, the subsets are distinguished by phenotypic, genotypic, and/or clinical characteristics of breast cancer. In this embodiment, groups of individuals are

classified according to one or more phenotypic, genotypic, or clinical characteristics of breast cancer into different patient subsets. At any step in the process of subdividing a patient population into patient subsets, the expression level of one or more genes may be determined in order to identify whether a prognosis-informative set of genes may be identified for the particular patient subset. If a gene set is identified for a subset of patients, but is not as informative as desired, the patient subset may be further divided and a new geneset identified. These subsets may be further subdivided. For example, a group of individuals affected by breast cancer may be classified first on the basis of a phenotypic, genotypic or clinical characteristic A into subsets S1 and S2. The levels of expression of a plurality of genes are then determined in tumor samples taken from individuals that fall within subsets S1 or S2 in order to identify sets of genes informative for prognosis within these subsets. Subsets S1 and S2 may then each be subdivided into two or more subsets based on other phenotypic, genotypic or clinical characteristics. The basis for subdivision, if performed, need not be the same for S1 and S2. For example, in various embodiments, S1 is not subdivided, while S2 is subdivided on the basis of characteristic B; or S1 is subdivided based on characteristic B while S2 is not subdivided; or S1 and S2 are both subdivided on the basis of characteristic B; or S1 is subdivided based on characteristic B, while S2 is subdivided according to characteristic C; and so on. For a particular decision matrix leading to a plurality of patient subsets, the preferred outcome is a prognosis-informative set of genes for each patient subset. Different decision matrices may lead to different patient subsets, which, in turn, may result in different sets of prognosis-informative genes.

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In the specific example, a plurality of phenotypic, genotypic or clinical indications are used to classify a breast cancer patient as being a member of one of a plurality of patient subsets, wherein the subsets are medically, biochemically or genetically relevant to breast cancer. For example, a group of patients may be classified into patient subsets based on criteria including, but not limited to, estrogen receptor (ER) status, type of tumor (*i.e.*, *BRCA1*-type or sporadic), lymph node status, grade of cancer, invasiveness of the tumor, or age. "BRCA1-type" indicates that the *BRCA1* mutation is present. In each classification step, a group of cancer patients may be classified into only two classes, for example, ER+ or ER<sup>-</sup>, or into three or more subsets (for example, by tumor grade), depending upon the characteristic used to determine the subsets. As used herein, "ER+" indicates that the estrogen receptor is expressed at some level; for example, it may indicate that the estrogen receptor is detectably expressed, or may indicate that more than 10% of cells may be

histologically stained for the receptor, etc. Conversely, "ER—" indicates that the estrogen receptor is expressed at a reduced level or not at all; for example, it may indicate that the receptor is not detectably expressed, or that 10% or less of cells may be histologically stained for the receptor, etc. Marker gene sets optimized for each phenotypic class are preferably determined after the subsets are established. Where informative markers for a particular patient subset, distinguished from another subset by a particular characteristic of the condition of interest, cannot be determined, the subset may be further divided by another characteristic of the condition to create a plurality of second patient subsets, whereupon genes informative for these second patient subsets may be identified.

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10 FIG. 1 depicts the process, described in the Examples, of subdivision of a collection of breast cancer patients according to phenotypic and genotypic characteristics relevant to breast cancer, in preparation for identification of genes informative for prognosis. A collection of breast cancer tumor samples was first subdivided by estrogen receptor status. ER status was chosen because the presence or absence of the estrogen receptor greatly 15 influences the expression of other genes. In the ER+ patient subset, it was noted that patients appeared to be bimodally distributed by ER level vs. age; that is, ER level dependence upon age tended to fall within two classes, as separated by the solid line in FIG. 2A. This bimodality was used to further subdivide ER+ individuals into "ER+, ER/AGE high" individuals and "ER+, ER/AGE low" individuals. A set of informative genes was identified 20 for the ER+, ER/AGE high patient subset. An informative set was not identified for the ER+, ER/AGE low subset, however, so the subset of patients was further divided into LN+ and LN-individuals.

#### 5.1.2 <u>IDENTIFICATION OF MARKER SETS INFORMATIVE FOR PATIENT</u> SUBSETS

Once a patient subset is identified, markers, such as genes, informative for a particular outcome, such as prognosis, may be identified. The methods make use of measured cellular constituent profiles, e.g., expression profiles of a plurality of genes (e.g., measurements of abundance levels of the corresponding gene products), in tumor samples from a plurality of patients in the patient subset whose prognosis outcomes are known. The prognosis outcomes can be the prognosis at a predetermined time after initial diagnosis. The predetermined time can be any convenient time period, e.g., 2, 3, 4, or 5 years. Prognosis markers can be obtained by identifying genes whose expression levels correlate with prognosis outcome, e.g.,

genes whose expression levels in good prognosis patients group are significantly different from those in poor prognosis patients. In preferred embodiments, the tumor samples from the plurality of patients are separated into a good prognosis group and a poor prognosis group for the predetermined time period. Genes whose expression levels exhibit differences between the good and poor prognosis groups to at least a predetermined level are selected as the genes whose expression levels correlate with patient prognosis. This section describes embodiments which employ genes and gene-derived nucleic acids as markers. However, it will be understood by a person skilled in the art that proteins or other cellular constituents may also be used as markers.

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In a preferred embodiment, the expression profile is a differential expression profile. Each measurement in the profile is a differential expression level of a marker in a breast tumor sample versus that in a reference sample (also termed a standard or control sample). In one embodiment, the reference sample comprises polynucleotide molecules, derived from one or more samples from a plurality of normal individuals. For example, the normal individuals may be persons not afflicted with breast cancer. The standard or control may alternatively comprise polynucleotide molecules, derived from one or more samples derived from individuals having a different form or stage of breast cancer; a different disease or different condition, or individuals exposed or subjected to a different condition, than the individual from which the sample of interest was obtained. The reference or control may be a sample, or set of samples, taken from the individual at an earlier time, for example, to assess the progression of a condition, or the response to a course of therapy.

In a preferred embodiment, the standard or control is a pool of target polynucleotide molecules derived from a plurality of different individuals. However, where protein levels, or the levels of any other relevant biomolecule, are to be compared, the pool may be a pool of proteins or the relevant biomolecule. In a preferred embodiment in the context of breast cancer, the pool comprises samples taken from a number of individuals having sporadic-type tumors.

In another preferred embodiment, the pool comprises an artificially-generated population of nucleic acids designed to approximate the level of nucleic acid derived from each marker found in a pool of marker-derived nucleic acids derived from tumor samples. In another embodiment, the pool, also called a "mathematical sample pool," is represented by a set of expression values, rather than a set of physical polynucleotides; the level of expression

of relevant markers in a sample from an individual with a condition, such as a disease, is compared to values representing control levels of expression for the same markers in the mathematical sample pool. Such a control may be a set of values stored on a computer. Such artificial or mathematical controls may be constructed for any condition of interest.

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In another embodiment, the reference sample is derived from a normal breast cell line or a breast cancer cell line. In a preferred embodiment, the reference sample comprises samples taken from individuals within a specific patient subset, e.g., "ER+, ER/AGE high" individuals, wherein each of said individuals has a good prognosis, or each of said individuals has a poor prognosis. Of course, where, for example, expressed proteins are used as markers, the proteins are obtained from the individual's sample, and the standard or control can be a pool of proteins from a number of normal individuals, or from a number of individuals having a particular state of a condition, such as a pool of samples from individuals having a particular prognosis of breast cancer.

The comparison may be accomplished by any means known in the art. For example, expression levels of various markers may be assessed by separation of target polynucleotide molecules (e.g., RNA or cDNA) derived from the markers in agarose or polyacrylamide gels, followed by hybridization with marker-specific oligonucleotide probes. Alternatively, the comparison may be accomplished by the labeling of target polynucleotide molecules followed by separation on a sequencing gel. Polynucleotide samples are placed on the gel such that patient and control or standard polynucleotides are in adjacent lanes. Comparison of expression levels is accomplished visually or by means of densitometer. In a preferred embodiment, the expression of all markers is assessed simultaneously by hybridization to a microarray. In each approach, markers meeting certain criteria are identified as informative for the prognosis of breast cancer.

In one embodiment, genes are first screened based on significant variation in expression in a set of breast cancer tumor samples as compared to a standard or control sample. Genes may be screened, for example, by determining whether they show significant variation in at least some samples among the set of samples. Genes that do not show significant variation in at least some samples in the set of samples are presumed not to be informative, and are discarded from further consideration. Genes showing significant variation in at least some samples in the sample set are retained as candidate informative genes. The degree of variation in expression of a gene may be estimated by determining a

difference or ratio of the expression of the gene in a sample and a control. The difference or ratio of expression may be further transformed, e.g., by a linear or log transformation. Selection of candidate markers may be made based upon either significant up- or down-regulation of the gene in at least some samples in the set or based on the statistical significance (e.g., the p-value) of the variation in expression of the gene. Preferably, both selection criteria are used. Thus, in one embodiment of the present invention, genes showing both a more than two-fold change (increase or decrease) in expression as compared to a standard in at least three samples, and a p-value of variation in expression of the gene in the set of tumor samples as compared to the standard sample is no more than 0.01 (i.e., is statistically significant) are selected as candidate genes associated with prognosis of breast cancer in a patient subset.

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In the present invention, a "good prognosis" predicts non-occurrence of metastases within a predetermined period of time, e.g., 1, 2, 3, 4, 5 or more years, after initial diagnosis, whereas a "poor prognosis" predicts occurrence of metastasis within that period. In a specific embodiment, a "good prognosis" predicts non-occurrence of metastases within 5 years after initial diagnosis, and a "poor prognosis" predicts occurrence of metastasis within that period.

Expression profiles comprising a plurality of different genes in a plurality of N breast cancer tumor samples can be used to identify markers that correlate with, and therefore are useful for discriminating, different clinical categories. In a specific embodiment, a correlation coefficient  $\rho$  between a vector  $\vec{c}$  representing clinical categories or clinical parameters, e.g., a good or poor prognosis, in the N tumor samples and a vector  $\vec{r}$  representing the measured expression levels of a gene in the N tumor samples is used as a measure of the correlation between the expression level of the gene and clinical category. The expression levels can be a measured abundance level of a transcript of the gene, or any transformation of the measured abundance, e.g., a logarithmic or a log ratio. Specifically, the correlation coefficient may be calculated as:

$$\rho = (\vec{c} \bullet \vec{r}) / (\|\vec{c}\| \cdot \|\vec{r}\|) \tag{1}$$

Markers for which the coefficient of correlation exceeds a cutoff are identified as prognosis-informative markers specific for a particular clinical category, e.g., a good prognosis, within a given patient subset. Such a cutoff or threshold may correspond to a certain significance of the set of obtained discriminating genes. The threshold may also be

selected based on the number of samples used. For example, a threshold can be calculated as  $3 \times 1/\sqrt{n-3}$ , where  $1/\sqrt{n-3}$  is the distribution width and n = the number of samples. In a specific embodiment, markers are chosen if the correlation coefficient is greater than about 0.3 or less than about -0.3.

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Next, the significance of the set of marker genes can be evaluated. The significance may be calculated by any appropriate statistical method. In a specific example, a Monte-Carlo technique is used to randomize the association between the expression profiles of the plurality of patients and the clinical categories to generate a set of randomized data. The same marker selection procedure as used to select the marker set is applied to the randomized data to obtain a control marker set. A plurality of such runs can be performed to generate a probability distribution of the number of genes in control marker sets. In a preferred embodiment, 10,000 such runs are performed. From the probability distribution, the probability of finding a marker set consisting of a given number of markers when no correlation between the expression levels and phenotype is expected (i.e., based randomized data) can be determined. The significance of the marker set obtained from the real data can be evaluated based on the number of markers in the marker set by comparing to the probability of obtaining a control marker set consisting of the same number of markers using the randomized data. In one embodiment, if the probability of obtaining a control marker set consisting of the same number of markers using the randomized data is below a given probability threshold, the marker set is said to be significant.

Once a marker set is identified, the markers may be rank-ordered in order of correlation or significance of discrimination. One means of rank ordering is by the amplitude of correlation between the change in gene expression of the marker and the specific condition being discriminated. Another, preferred, means is to use a statistical metric. In a specific embodiment, the metric is a t-test-like statistic:

$$t = \frac{\left(\left(x_{1}\right) - \left(x_{2}\right)\right)}{\sqrt{\left[\sigma_{1}^{2}(n_{1} - 1) + \sigma_{2}^{2}(n_{2} - 1)\right]/(n_{1} + n_{2} - 1)/(1/n_{1} + 1/n_{2})}}$$
(2)

In this equation,  $\langle x_1 \rangle$  is the error-weighted average of the log ratio of transcript expression measurements within a first clinical group (e.g., good prognosis),  $\langle x_2 \rangle$  is the error-weighted average of log ratio within a second, related clinical group (e.g., poor prognosis),  $\sigma_1$  is the

variance of the log ratio within the first clinical group (e.g., good prognosis),  $n_1$  is the number of samples for which valid measurements of log ratios are available,  $\sigma_2$  is the variance of log ratio within the second clinical group (e.g., poor prognosis), and  $n_2$  is the number of samples for which valid measurements of log ratios are available. The t-value represents the variance-compensated difference between two means. The rank-ordered marker set may be used to optimize the number of markers in the set used for discrimination.

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A set of genes for prognosis of breast cancer can also be identified using an iterative approach. This is accomplished generally in a "leave one out" method as follows. In a first run, a subset, for example five, of the markers from the top of the ranked list is used to generate a template, where out of N samples, N-1 are used to generate the template, and the status of the remaining sample is predicted. This process is repeated for every sample until every one of the N samples is predicted once. In a second run, one or more additional markers, for example five additional markers, are added, so that a template is now generated from 10 markers, and the outcome of the remaining sample is predicted. This process is repeated until the entire set of markers is used to generate the template. For each of the runs, type 1 error (false negative) and type 2 errors (false positive) are counted. The set of topranked markers that corresponds to lowest type 1 error rate, or type 2 error rate, or preferably the total of type 1 and type 2 error rate is selected.

For prognostic markers, validation of the marker set may be accomplished by an additional statistic, a survival model. This statistic generates the probability of tumor distant metastases as a function of time since initial diagnosis. A number of models may be used, including Weibull, normal, log-normal, log logistic, log-exponential, or log-Rayleigh (Chapter 12 "Life Testing", S-PLUS 2000 GUIDE TO STATISTICS, Vol. 2, p. 368 (2000)). For the "normal" model, the probability of distant metastases P at time t is calculated as

$$P = \alpha \times \exp(-t^2/\tau^2) \tag{3}$$

where a is fixed and equal to 1, and  $\tau$  is a parameter to be fitted and measures the "expected lifetime".

It is preferable that the above marker identification process be iterated one or more times by excluding one or more samples from the marker selection or ranking (i.e., from the

calculation of correlation). Those samples being excluded are the ones that can not be predicted correctly from the previous iteration. Preferably, those samples excluded from marker selection in this iteration process are included in the classifier performance evaluation, to avoid overstating the performance.

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#### 5.1.3 CLASSIFIER GENESETS FOR PATIENT SUBSETS

This section provides exemplary sets of markers useful for the prognosis of breast cancer. The markers were identified according to the above methods in specific subsets of individuals with breast cancer. Generally, the marker sets can be used for prognosis of breast cancer patients that fall into five phenotypic categories based on criteria relevant to breast cancer prognosis, including estrogen receptor (ER) status, lymph node status, type of mutation(s) (i.e., BRCA1-type or sporadic) and age at diagnosis. More specifically, patients, and tumors from which samples were taken, were classified as ER, sporadic (i.e., being both estrogen receptor negative and having a non-BRCA1-type tumor); ER, BRCA1 (i.e., being both estrogen receptor negative and having a BRCA1-type tumor); ER+, ER/AGE high (i.e., estrogen receptor positive with a high ratio of the log (ratio) of estrogen receptor gene expression to age); ER+, ER/AGE low, LN+ (i.e., estrogen receptor positive with a low ratio of the log (ratio) of estrogen receptor gene expression to age, lymph node positive); and ER<sup>+</sup>, ER/AGE low, LN (i.e., estrogen receptor positive with a low ratio of the log (ratio) of estrogen receptor gene expression to age, lymph node negative). The rationale for subdivision of the original patient set into these five subsets is detailed in the Examples (Section 6). The marker sets useful for each of the subsets above are provided in Tables 1-5, respectively.

Table 1: Geneset of 20 markers used to classify ER, sporadic individuals.

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
AF055033	IGFBP5	-2.12	0.88		insulin-like growth factor binding protein 5	Growth factor binding, Glycoprotein, Signal, 3D- structure
NM_000599	IGFBP5	-3.41	0.43	0.53	insulin-like growth factor binding protein 5	Growth factor binding, Glycoprotein, Signal, 3D- structure
L27560	IGFBP5	-4.55	0	0.52	EST	Hypothetical protein
AF052162	FLJ12443	-0.27	1.6	0.52	EST	Hypothetical protein
NM_001456	FLNA	-0.61	2.47	0.52	filamin A, alpha (actin binding protein 280)	Hypothetical protein, Actin-binding, Phosphorylation, Repeat,

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
						Polymorphism, Disease mutation
NM_002205	ITGA5	-0.37	2.08	0.49	integrin, alpha 5 (fibronectin receptor, alpha polypeptide)	Integrin, Cell adhesion, Receptor, Glycoprotein, Transmembrane, Signal, Calcium, Repeat
NM_013261	PPARGC1	0.09	1.54	0.47	peroxisome proliferativ gamma, coactivator 1	e activated receptor,
NM_001605	AARS	0.39	2.36	0.51	alanyl-tRNA synthetase	Aminoacyl-tRNA synthetase, Protein biosynthesis, Ligase, ATP-binding
X87949	HSPA5	-0.03	2.03		heat shock 70kDa protein 5 (glucose- regulated protein, 78kDa)	ATP-binding, Hypothetical protein, Endoplasmic reticulum, Signal
Contig50950_RC	NGEF	-1.17	3.2	0.52	neuronal guanine nucl	eotide exchange factor
NM_005689	ABCB6	-0.51	2.26	0.48	ATP-binding cassette, sub-family B (MDR/TAP), member 6	ATP-binding, Transport, Transmembrane, Mitochondrion, Inner membrane, Transit peptide, Hypothetical protein
NM_004577	PSPH	-0.56	3.05	0.51	phosphoserine phosphatase	Hydrolase, Serine biosynthesis, Magnesium, Phosphorylation
NM_003832	PSPHL	-2.08	2.18	0.5	phosphoserine phosphatase-like	
NM_002422	ММР3	-0.96	2.54	0.5	matrix metalloproteinase 3 (stromelysin 1, progelatinase)	Hydrolase, Metalloprotease, Glycoprotein, Zinc, Zymogen, Calcium, Collagen degradation, Extracellular matrix, Signal, Polymorphism, 3D-structure
Contig37562_RC		-3.42	-6.02	-0.59	ESTs	
NM_018465	MDS030	-0.82	-3.28	-0.58	uncharacterized hematopoietic stem/progenitor cells protein MDS030	Hypothetical protein
Contig54661_RC		-0.79	-2.08		ESTs	
AB032969	KIAA1143	-0.€			KIAA1143 protein	Hypothetical protein
Contig55353_RC NM_005213	CSTA	-0.27 2.11			KIAA1915 protein Cystatin A (stefin A)	Hypothetical protein Thiol protease inhibitor, 3D-structure

Table 2. Geneset of 10 markers used to classify ER, BRCA1 individuals.

Accession/ Contig No.	Gene	Avg good xdev	poor	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
AF005487		6.08	0.5	-0.79		Homo sapiens MHC class II antigen (DRB6)	MHC

						mRNA, HLA- DRB6*0201 allele, sequence.	
Contig50728_RC		4.02	0.25	-0.77		ESTs, Weakly simila binding protein 5 - h	
Contig53598_RC		8.41	3.26		FLJ11413	hypothetical protein FLJ11413	Hypothetical protein
NM_002888	RARR ES1	6.9	0.05	-0.87	RARRES1	retinoic acid receptor responder (tazarotene induced) 1	Receptor, Transmembrane, Signal-anchor
NM_005218	DEFB1	5.14	-3.02	-0.81	DEFB1	defensin, beta 1	Antibiotic, Signal, 3D- structure
U17077	BENE	2.72	-1.72	-0.77	BENE	BENE protein	Transmembrane
Contig14683_RC		1.29	-2.31	-0.74		ESTs	
Contig53641_RC		-3.29	4.23	0.75	MAGE-E1	MAGE-E1 protein	Hypothetical protein
Contig56678_RC		-6.7	-9.73			ESTs, Highly similar Prothymosin alpha [	
NM_005461	KRML	0.88	-3.38	-0.75	MAFB	c fibrosarcoma	Transcription regulation, Repressor, DNA-binding, Nuclear protein, Hypothetical protein

Table 3. Geneset of 50 markers used to classify ER+, ER/AGE high individuals.

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
NM_003600	STK15	-2.93	2.08		serine/threonine kinase 6	ATP-binding, Kinase, Serine/threonine-protein kinase, Transferase
NM_003158	STK6	-1.57	1.42		serine/threonine kinase 6	ATP-binding, Kinase, Serine/threonine-protein kinase, Transferase
NM_007019	UBCH10	-2.98	2.62		ubiquitin-conjugating enzyme E2C	Hypothetical protein, Ubl conjugation pathway, Ligase, Multigene family, Mitosis, Cell cycle, Cell division
NM_013277	ID-GAP	-2.43	2.43		Rac GTPase activating protein 1	Hypothetical protein
NM_004336	BUB1	-2.04	1.39	0.77	BUB1 budding uninhibited by benzimidazoles 1 homolog (yeast)	Transferase, Serine/threonine-protein kinase, ATP-binding, Cell cycle, Nuclear protein, Mitosis, Phosphorylation, Polymorphism
NM_006607	PTTG2	-1.71	1.49	0.72	pituitary tumor- transforming 2	
AK001166	FLJ11252	-1.33	0.99	0.71	hypothetical protein FLJ11252	Hypothetical protein
NM_004701	CCNB2	-4.62	2.01		cyclin B2	Cyclin, Cell cycle, Cell division, Mitosis
Contig57584_RC	ļ	-3.68	2.04		gene	use gene rich cluster, C8
NM_006845	KNSL6	-4.13	1.05	0.73	kinesin-like 6 (mitotic	Hypothetical protein,

WO 2006/084272

#### PCT/US2006/004280

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
					centromere- associated kinesin)	Motor protein, Microtubules, ATP- binding, Coiled coil, Nuclear protein
Contig38901_RC		-3.08	1.15		hypothetical protein MGC45866	Hypothetical protein
NM_018410	DKFZp76 2E1312	-4.38	1.49	0.75	hypothetical protein DKFZp762E1312	Hypothetical protein
NM_003981	PRC1	-3.52	2.17	0.78	protein regulator of cytokinesis 1	
NM_001809	CENPA	-5.04	0.98	0.75	centromere protein A, 17kDa	Hypothetical protein, Chromosomal protein, Nuclear protein, DNA- binding, Centromere, Antigen
NM_003504	CDC45L	-2.67	1.22		CDC45 cell division cycle 45-like (S. cerevisiae)	DNA replication, Cell cycle, Nuclear protein, Cell division
Contig41413_RC		-5.43	2.15		ribonucleotide reductase M2 polypeptide	Oxidoreductase, DNA replication, Iron
NM_004217	STK12	-2.17	0.73	0.72	serine/threonine kinase 12	Hypothetical protein, ATP- binding, Kinase, Serine/threonine-protein kinase, Transferase
NM_002358	MAD2L1	-2.65	2.27	0.83	MAD2 mitotic arrest deficient-like 1 (yeast)	Cell cycle, Mitosis, Nuclear protein, 3D- structure
NM_014321	ORC6L	-2.73	1.8	0.75	origin recognition complex, subunit 6 homolog-like (yeast)	Hypothetical protein, DNA replication, Nuclear protein, DNA-binding
NM_012291	KIAA0165	-1.52	1.55	0.71	extra spindle poles like 1 (S. cerevisiae)	Hypothetical protein
NM_004203	PKMYT1	-3.64	2.2		retinoblastoma-like 2 (p130)	ATP-binding, Kinase, Serine/threonine-protein kinase, Transferase, Transcription regulation, DNA-binding, Nuclear protein, Cell cycle, Phosphorylation, Anti- oncogene
M96577	E2F1	-2.14	1.42	0.75	E2F transcription factor 1	Transcription regulation, Activator, DNA-binding, Nuclear protein, Phosphorylation, Cell cycle, Apoptosis, Polymorphism
NM_002266	KPNA2	-3.77	1.78	0.71	karyopherin alpha 2 (RAG cohort 1, importin alpha 1)	Transport, Protein transport, Repeat, Nuclear protein, Polymorphism
Contig31288_RC		-2.63	0.7	0.68	ESTs, Weakly similar FLJ20489 [Homo sap	to hypothetical protein
NM_014501	E2-EPF	-1.55	1.93	0.7	ubiquitin carrier protein	Ubl conjugation pathway, Ligase, Multigene family

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
NM_001168	BIRC5	-5.76	2.01	0.78	baculoviral IAP repeat-containing 5 (survivin)	Apoptosis, Thiol protease inhibitor, Alternative splicing, 3D-structure, Hypothetical protein, Protease, Receptor
NM_003258	TK1	-4.57	1.38	0.71	thymidine kinase 1, soluble	Transferase, Kinase, DNA synthesis, ATP-binding
NM_001254	CDC6	-2.46	0.28	0.72	CDC6 cell division cycle 6 homolog (S. cerevisiae)	ATP-binding, Cell division
NM_004900	DJ742C19 .2	-2.96	0.13	0.69	apolipoprotein B mRNA editing enzyme, catalytic polypeptide-like 3B	Hydrolase
NM_004702	CCNE2	-3.12	2.13	0.81	cyclin E2	Cell cycle, Cell division, Cyclin, Hypothetical protein, Phosphorylation, Alternative splicing, Nuclear protein
AL160131		-3.07	2.42		hypothetical protein MGC861	Hypothetical protein
NM_016359	LOC5120 3	-3.22	2.61	0.76	nucleolar protein ANKT	Hypothetical protein, Nuclear protein
NM_004856	KNSL5	-1.52	1.1	0.71	kinesin-like 5 (mitotic kinesin-like protein 1)	Motor protein, Cell division, Microtubules, ATP-binding, Coiled coil, Mitosis, Cell cycle, Nuclear protein
NM_000057	BLM	-1.54	0.76	0.71	Bloom syndrome	Hydrolase, Helicase, ATP-binding, DNA- binding, Nuclear protein, DNA replication, Disease mutation
NM_018455	BM039	-2.44	1.18	0.7	uncharacterized bone marrow protein BM039	
NM_002106	H2AFZ	-2.49	1.53		H2A histone family, member Z	Chromosomal protein, Nucleosome core, Nuclear protein, DNA- binding, Multigene family
Contig64688		-2.68	3.1	0.73	hypothetical protein FLJ23468	Hypothetical protein
Contig44289_RC		-1.65	1.6	0.67	ESTs	
Contig28552_RC		-1.37	1.53		diaphanous homolog 3 (Drosophila)	Coiled coil, Repeat, Alternative splicing
Contig46218_RC		-1.31	1.56		protein C11G6.3 - Ca  elegans]	to T19201 hypothetical enorhabditis elegans [C.
Contig28947_RC		-1.3	0.98		cell division cycle 25A	Hypothetical protein, Cell division, Mitosis, Hydrolase, Alternative splicing, Multigene family, 3D-structure
NM_016095	LOC5165	-1.4	2.13	0.67	HSPC037 protein	Hypothetical protein

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Corre- lation	Description	Sp_xref_keyword_list
	9					
NM_003090	SNRPA1	-3.26	0.95	0.7	small nuclear ribonucleoprotein polypeptide A'	Hypothetical protein, Nuclear protein, RNA- binding, Ribonucleoprotein, Leucine-rich repeat, Repeat, 3D-structure
NM_002811	PSMD7	-2.48	1.89		proteasome (prosome, macropain) 26S subunit, non- ATPase, 7 (Mov34 homolog)	Proteasome
Contig38288_RC		-2.34	0.97	0.67	hypothetical protein DKFZp762A2013	Hypothetical protein
NM_003406	YWHAZ	-1.5	2.79	0.68	tyrosine 3- monooxygenase/tryp tophan 5- monooxygenase activation protein, zeta polypeptide	Brain, Neurone, Phosphorylation, Acetylation, Multigene family, 3D-structure
AL137540	NTN4	2.13	-4.61	-0.69	netrin 4	Hypothetical protein, Laminin EGF-like domain, Signal
AL049367		1.9	-3.2	-0.68	EST	Transducer, Prenylation, Lipoprotein, Multigene family, Acetylation
NM_013409	FST	1.04	-5.78	-0.69	follistatin	Glycoprotein, Repeat, Signal, Alternative splicing
NM_000060	BTD	3.1	-1.45	-0.67	biotinidase	Hydrolase, Glycoprotein, Signal, Disease mutation

WO 2006/084272

Table 4. Geneset of 50 markers used to classify ER+, ER/AGE low, LN+ individuals.

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Description	Sp_xref_keyword_list
NM_006417	MTAP44	-1.5	3	0.69	low affinity IIb,	Hydrolase, Hypothetical protein, Immunoglobulin domain, IgG-binding protein, Receptor, Transmembrane, Glycoprotein, Signal, Repeat, Multigene family, Polymorphism, NAD, One-carbon metabolism, Serine protease, Zymogen, Protease, Alternative splicing, Chromosomal translocation, Protooncogene, Galaptin, Lectin, Antigen
NM_006820	GS3686	-4.3	4.06	0.69	chromosome 1 open reading frame 29	

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Description	Sp_xref_keyword_list
NM_001548	IFIT1	-3.4	4.27		protein with tetratricopeptide repeats 1	Repeat, TPR repeat, Interferon induction
Contig41538_RC		-2.5	3.16	0.68	ESTs, Moderately sin protein FLJ20489 [Ho	
NM_016816	OAS1	-1.7	3.29	0.75	2',5'-oligoadenylate synthetase 1, 40/46kDa	RNA-binding, Transferase, Nucleotidyltransferase, Interferon induction, Alternative splicing
Contig51660_RC		-2.1	2.65	0.66	28kD interferon responsive protein	Transmembrane
Contig43645_RC		-4.8	1.44	0.63	Homo sapiens, clone IMAGE:4428577, mRNA, partial cds	Hypothetical protein
AF026941		-4.6	2.71	0.63	EST, Weakly similar to 2004399A chromosomal protein [Homo sapiens]	Hypothetical protein
NM_007315	STAT1	-3.5	1.8	0.59	signal transducer and activator of transcription 1, 91kDa	Transcription regulation, DNA-binding, Nuclear protein, Phosphorylation, SH2 domain, Alternative splicing, 3D-structure
NM_002038	G1P3	-4.1	5.64		interferon, alpha- inducible protein (clone IFI-6-16)	Interferon induction, Transmembrane, Signal, Alternative splicing
NM_005101	ISG15	-5.6	5.34	0.77	interferon-stimulated protein, 15 kDa	Repeat
NM_002462	MX1	-6.1	0.83	0.56	Smyxovirus (influenza virus) resistance 1, interferon-inducible protein p78 (mouse)	Interferon induction, GTP binding, Multigene family
NM_005532	IFI27	-5.8	2.81	<u> </u>	interferon, alpha- inducible protein 27	Interferon induction, Transmembrane
NM_002346	LY6E	-2.1	3.58	0.7	6 complex, locus E	Signal, Antigen, Multigen family, Membrane, GPI-anchor
NM_016817	OAS2	-3.6	1.89		9 2'-5'-oligoadenylate synthetase 2, 69/71kDa	RNA-binding, Transferase, Nucleotidyltransferase, Repeat, Interferon induction, Alternative splicing, Myristate
Contig44909_RC		-2.3			5 hypothetical protein BC012330	
NM_017414	USP18	-4.1			2 ubiquitin specific protease 18	Ubi conjugation pathway Hydrolase, Thiol proteas Multigene family
NM_004029	IRF7	-2.4	3.6	7 0.6	6 interferon regulatory factor 7	<ul> <li>Collagen, Transcription regulation, DNA-binding, Nuclear protein, Activato Alternative splicing</li> </ul>

Accession/	Gene	Avg	Avg	Correl-	Description	Sp_xref_keyword_list
Contig No.		good xdev	poor xdev	ation	-	
NM_004335	BST2	-3.2	3.22	0.57	bone marrow	Transmembrane,
					stromal cell antigen 2	Glycoprotein, Signal- anchor, Polymorphism
NM_002759	PRKR	-2.4	1.8	0.58	protein kinase,	Transferase,
	1				interferon-inducible double stranded	Serine/threonine-protein kinase, ATP-binding,
					RNA dependent	Repeat, Phosphorylation, Interferon induction, RNA- binding, 3D-structure
NM_006332	IFI30	-3.8	2.65	0.64	interferon, gamma- inducible protein 30	Oxidoreductase, Interferon induction, Glycoprotein, Lysosome, Signal, Hypothetical protein
NM_009587	LGALS9	-3.2	2.08	0.6	lectin, galactoside- binding, soluble, 9 (galectin 9)	Galaptin, Lectin, Repeat, Alternative splicing
NM_003641	IFITM1	-2.4	5.54	0.63	interferon induced transmembrane protein 1 (9-27)	Interferon induction, Transmembrane
NM_017523	HSXIAPA F1	-1	2.84	0.7	XIAP associated factor-1	Hypothetical protein
NM_014314	RIG-I	-1.3	3.55	0.62	RNA helicase	ATP-binding, Helicase, Hydrolase, Hypothetical protein
Contig47563_RC		-2.2	3.11	0.56	ESTs	
AI497657_RC		-4.4	5.61	0.74	guanine nucleotide binding protein 4	Transducer, Prenylation, Lipoprotein, Multigene family
NM_000735	CGA	-4.3	2.5	0.58	glycoprotein hormones, alpha polypeptide	Hormone, Glycoprotein, Signal, 3D-structure
NM_004988	MAGEA1	-1.4	6.31	0.64	melanoma antigen, family A, 1 (directs expression of antigen MZ2-E)	Antigen, Multigene family, Polymorphism, Tumor antigen
Contig54242_RC		-1.2	4.1	0.65	chromosome 17 open reading frame 26	Hypothetical protein
NM_004710	SYNGR2	-1.4	3.01	0.54	synaptogyrin 2	Transmembrane
NM_001168	BIRC5	-3.7	3.39		baculoviral IAP repeat-containing 5 (survivin)	Hypothetical protein, Protease, Receptor, Apoptosis, Thiol protease inhibitor, Alternative splicing, 3D-structure
Contig41413_RC		-4.4	2.61	0.57	ribonucleotide reductase M2 polypeptide	Oxidoreductase, DNA replication, Iron
NM_004203	PKMYT1	-3.4	3.79	0.6		ATP-binding, Kinase, Serine/threonine-protein kinase, Transferase, Transcription regulation, DNA-binding, Nuclear protein, Cell cycle, Phosphorylation, Anti- oncogene

WO 2006/084272

#### PCT/US2006/004280

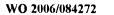
Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Description	Sp_xref_keyword_list
Contig48913_RC		-3.1	1.72		<i>Homo sapiens</i> , Simila PRO1722, clone MGC mRNA, complete cds	r to hypothetical protein 0:15692 IMAGE:3351479,
NM_005804	DDXL	-2.5	1.42		Ala-Asp/His) box polypeptide 39	ATP-binding, Helicase, Hydrolase, Hypothetical protein
NM_016359	LOC5120 3	-1.7	3.6		ANKT	Hypothetical protein, Nuclear protein
NM_001645	APOC1	-2.9	3.43	0.58	· · ·	Plasma, Lipid transport, VLDL, Signal, 3D- structure, Polymorphism
Contig37895_RC		-2	2.05	0.55	ESTs	
NM_005749	TOB1	-1.3	4.96	0.59	transducer of ERBB2, 1	Phosphorylation
NM_000269	NME1	-1.3	2.98		1, protein (NM23A) expressed in	Transferase, Kinase, ATP-binding, Nuclear protein, Anti-oncogene, Disease mutation
NM_014462	LSM1	-1	4.5	0.57	Lsm1 protein	Nuclear protein, Ribonucleoprotein, mRNA splicing, mRNA processing, RNA-binding
Contig31221_RC		-1.4	3.83	0.56	HTPAP protein	
NM_005326	HAGH	-1.9	4.29	0.57	hydroxyacyl glutathione hydrolase	Hydrolase, Zinc, 3D- structure
Contig42342_RC		0.78	-3.2	-0.6	Homo sapiens cDNA FLJ39417 fis, clone PLACE6016942	Hypothetical protein
AL137540	NTN4	2.24	-3.9	-0.6	netrin 4	Laminin EGF-like domain, Signal, Hypothetical protein
Contig40434_RC		1.64	-5.6	-0.6	wingless-type MMTV integration site family, member 5A	Developmental protein, Glycoprotein, Signal
Contig1632_RC		1.03	-3.9	-0.6	hypothetical protein MGC17921	Hypothetical protein
NM_014246	CELSR1	0.95	-4.6	-0.6	cadherin, EGF LAG seven-pass G-type receptor 1 (flamingo homolog, <i>Drosophila</i> )	G-protein coupled receptor, Transmembrane, Glycoprotein, EGF-like domain, Calcium-binding, Laminin EGF-like domain, Repeat, Developmental protein, Hydroxylation, Signal, Alternative splicing, Hypothetical protein
NM_005139	ANXA3	1.26	-6.2	2 -0.	6 annexin A3	Annexin, Calcium/phospholipid- binding, Repeat, Phospholipase A2 inhibitor, 3D-structure, Polymorphism

Table 5. Geneset of 65 markers used to classify ER+, ER/AGE low, LN individuals.

Accession/ Contig No.	Gene	Avg good xdev	poor	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
M55914	MPB1	-2.82	1.25	0.5	ENO1		DNA-binding, Transcription regulation, Repressor, Nuclear protein, Lyase, Glycolysis, Magnesium, Multigene family, Hypothetical protein
NM_005945	MPB1	-3.06	1.19	0.49	ENO1	enolase 1, (alpha) (ENO1), mRNA.	Glycolysis, Hypothetical protein, Lyase, Magnesium, DNA-binding, Transcription regulation, Repressor, Nuclear protein, Multigene family
NM_001428	ENO1	-2.53	1.18	0.46	ENO1	enolase 1, (alpha)	DNA-binding, Transcription regulation, Repressor, Nuclear protein, Lyase, Glycolysis, Magnesium, Multigene family, Hypothetical protein
NM_001216	CA9	-4.72	1.49	0.6	SCA9	carbonic anhydrase IX	Lyase, Zinc, Transmembrane, Glycoprotein, Antigen, Signal, Nuclear protein, Polymorphism
NM_001124	ADM	-5.68	2.99	0.56	ADM	adrenomedullin	Hormone, Amidation, Cleavage on pair of basic residues, Signal
NM_000584	IL8	-2.45			4 IL8	interleukin 8	Cytokine, Chemotaxis, Inflammatory response, Signal, Alternative splicing, 3D-structure
D25328	PFKP	-4.19	9 3.2	9 0.5	6 PFKP	Phosphofructo- kinase, platelet	Kinase, Transferase, Glycolysis, Repeat, Allosteric enzyme, Phosphorylation, Magnesium, Multigene family
NM_006096	NDRG1	-5.4	5 5.9	7 0.7	7 NDRG1	N-myc downstream regulated gene 1	Hypothetical protein, Nuclear protein, Repeat
NM_004994	ММР9	-5.5	3 1.0	7 0.4	9 MMP9	matrix metalloproteinase 9 (gelatinase B, 92kDa gelatinase, 92kDa type IV collagenase)	Hydrolase, Metalloprotease, Glycoprotein, Zinc, Zymogen, Calcium, Collagen degradation Extracellular matrix, Repeat, Signal,

Accession/ Contig No.	Gene	Avg good xdev	•	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
							Polymorphism, 3D- structure
NM_003311	TSSC3	-4.57	5.58	0.68	TSSC3	tumor suppressing s candidate 3	
NM_006086	TUBB4	-5.19	2.85	0.59	TUBB4	tubulin, beta, 4	G-protein coupled receptor, Transmembrane, Glycoprotein, Phosphorylation, Lipoprotein, Palmitate, Polymorphism, Hypothetical protein, GTP-binding, Receptor, Microtubules, Multigene family
NM_006115	PRAME	-4.48	2.77	0.61	PRAME	preferentially expressed antigen in melanoma	Antigen
NM_004345	CAMP	-2.02	1.37	0.49	CAMP	cathelicidin antimicrobial peptide	Antibiotic, Signal
NM_018455	BM039	-2.34	0.76	0.47	BM039	uncharacterized bone marrow protein BM039	
Contig49169_RC		-1.17	1.9	0.46	SUV39H2	suppressor of variegation 3-9 (Drosophila) homolog 2; hypothetical proteir FLJ23414	Hypothetical protein, Nuclear protein
Contig45032_RC		-1.3	7 0.7	7 0.4	FLJ14813	hypothetical proteir FLJ14813	Hypothetical protein, ATP-binding, Kinase, Serine/threonine- protein kinase, Transferase
NM_000917	P4HA1	-1.5	4 4.3	1 0.6	2 P4HA1	procollagen- proline, 2- oxoglutarate 4- dioxygenase (proline 4- hydroxylase), alpha polypeptide i	Dioxygenase, Collagen, Oxidoreductase, Iron, Vitamin C, Alternative splicing, Glycoprotein, Endoplasmic reticulum, Signal
NM_002046	GAPD	-2.5	1 3.4		6 GAPD	glyceraldehyde-3- phosphate dehydrogenase	Glycolysis, NAD, Oxidoreductase, Hypothetical protein, Multigene family
NM_000365	TPI1	-1.8	1 2.9	0.5	6 TPI1	triosephosphate isomerase 1	Fatty acid biosynthesis, Gluconeogenesis, Glycolysis, Isomerase, Pentose shunt, Disease mutation, Polymorphism, 3D-

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
NM_014364	GAPDS	-1.08	2.88		GAPDS	glyceraldehyde-3- phosphate dehydrogenase, testis-specific	structure Glycolysis, Oxidoreductase, NAD
NM_005566	LDHA	-2.01	4.01	0.59	LDHA	lactate dehydrogenase A	Oxidoreductase, NAD, Glycolysis, Multigene family, Disease mutation, Polymorphism
NM_000291	PGK1	-2.28	1.68	0.51	PGK1	phosphoglycerate kinase 1	Kinase, Transferase, Multigene family, Glycolysis, Acetylation, Disease mutation, Polymorphism, Hereditary hemolytic anemia
NM_016185	LOC511 55	-2.33	2.82	0.59	HN1	hematological and neurological expressed 1	
NM_001168	BIRC5	-4.33	2.78	0.55	BIRC5	baculoviral IAP repeat-containing 5 (survivin)	Apoptosis, Thiol protease inhibitor, Alternative splicing, 3D-structure, Hypothetical protein, Protease, Receptor
NM_002266	KPNA2	-3.75	1.34	0.47	KPNA2	karyopherin alpha 2 (RAG cohort 1, importin alpha 1)	Transport, Protein transport, Repeat, Nuclear protein, Polymorphism
Contig31288_RC		-2.1	1.27	0.5		ESTs, Weakly similar protein FLJ20489 [H.sapiens]	ar to hypothetical
NM_000269	NME1	-2.15	3.43	0.55	NME1	non-metastatic cells 1, protein (NM23A) expressed in	Transferase, Kinase, ATP-binding, Nuclear protein, Anti- oncogene, Disease mutation
NM_003158	STK6	-1.23	1.73	0.45	STK6	serine/threonine kinase 6	ATP-binding, Kinase, Serine/threonine- protein kinase, Transferase
NM_007274	HBACH	-1.83	2.73	0.51	BACH	brain acyl-CoA	Hydrolase, Serine
Contig55188_RC		-2.36	3.28	0.47	FLJ22341	hydrolase hypothetical protein FLJ22341	esterase, Repeat Hypothetical protein
NM_002061	GCLM	-1.06	1.76	0.48	GCLM	glutamate-cysteine ligase, modifier subunit	Ligase, Glutathione biosynthesis
NM_004207	SLC16A 3	-3.11	5.07	0.67	SLC16A3		Transport, Symport, Transmembrane, Multigene family
NM_000582	SPP1	-5.09	5.47	0.53	SPP1	secreted phosphoprotein 1	Hypothetical protein, Glycoprotein, Sialic



#### PCT/US2006/004280

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
						sialoprotein I, early T-lymphocyte activation 1)	acid, Biomineralization, Cell adhesion, Phosphorylation, Signal, Alternative splicing
NM_001109	ADAM8	-2.5	3.74	0.45	ADAM8	a disintegrin and metalloproteinase domain 8	Hydrolase, Metalloprotease, Zinc, Signal, Glycoprotein, Transmembrane, Antigen
D50402	SLC11A 1	-1.05	3.46		SLC11A1		Transport, Iron transport, Transmembrane, Glycoprotein, Macrophage, Polymorphism
AL080235	DKFZP5 86E162 1	-1.23	1.96	0.51	RIS1	Ras-induced senescence 1	Hypothetical protein
Contig40552_RC		-1.26		<u> </u>	FLJ25348	FLJ25348	Hypothetical protein
Contig52490_RC		-0.64		Į.	8	hypothetical protein BC014072	
NM_006461	DEEPE ST	-2.1	1.85		SPAG5	sperm associated antigen 5	Hypothetical protein
Contig56503_RC		-4.3			MGC9753	hypothetical gene MGC9753	Hypothetical protein
Contig63525		-1.91	3.34		FLJ13352	hypothetical protein FLJ13352	Hypothetical protein
NM_001909	CTSD	-0.83	4.6	0.51	CTSD	cathepsin D (lysosomal aspartyl protease)	Hydrolase, Aspartyl protease, Glycoprotein, Lysosome, Signal, Zymogen, Polymorphism, Alzheimer's disease, 3D-structure
NM_005063	SCD	-2.57	5.1	0.48	SCD	stearoyl-CoA desaturase (delta- 9-desaturase)	Hypothetical protein, Endoplasmic reticulum, Fatty acid biosynthesis, Iron, Oxidoreductase, Transmembrane
NM_005165	ALDOC	-2.43	5.0	2 0.48	BALDOC	aldolase C, fructose- bisphosphate	Lyase, Schiff base, Glycolysis, Multigene family
NM_000363	TNNI3	-0.54	3.5	8 0.4	TNNI3	troponin I, cardiac	Hypothetical protein, Muscle protein, Actin binding, Acetylation, Disease mutation, Cardiomyopathy,
AF035284		-1.6	3 3.2	8 0.4	7 FADS1	EST	Receptor, Signal Heme, Hypothetical protein
Contig30875_RC	;	-0.8	8	3 0.	6	ESTs	

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
NM_018487	HCA112	-0.7	3.54		HCA112	hepatocellular carcinoma- associated antigen 112	Hypothetical protein
NM_001323	CST6	-1.63	3.84	0.57	CST6	cystatin E/M	Thiol protease inhibitor, Signal, Glycoprotein
NM_006516	SLC2A1	-1.66	2.22	0.46	SLC2A1	solute carrier family 2 (facilitated glucose transporter), member 1	
NM_007267	LAK-4P	-1.04	3.28	0.61	EVIN1	expressed in activated T/LAK lymphocytes	Hypothetical protein
NM_004710	SYNGR 2	-0.84	4.81	0.56	SYNGR2	synaptogyrin 2	Transmembrane
Contig63649_RC		-1.34	6.3	0.75		ESTs, Weakly simila chromosomal protei [H.sapiens]	
NM_003376	VEGF	-2.12	2.42	0.46	VEGF	vascular endothelial growth factor	Hypothetical protein, Mitogen, Angiogenesis, Growth factor, Glycoprotein, Signal, Heparin- binding, Alternative splicing, Multigene family, 3D-structure
NM_000799	EPO	-0.75	4.01	0.69	EPO	erythropoietin	Erythrocyte maturation, Glycoprotein, Hormone, Signal, Pharmaceutical, 3D- structure
NM_006014	DXS987 9E	-1.85	3.44	0.54	DXS9879E	DNA segment on ch 9879 expressed sec	nromosome X (unique)
NM_007183	РКР3	-0.91			РКРЗ	plakophilin 3	Cell adhesion, Cytoskeleton, Structural protein, Nuclear protein, Repeat
D13642	SF3B3	-0.65	2.28	0.48	SF3B3	splicing factor 3b, subunit 3, 130kDa	Hypothetical protein, Spliceosome, mRNA processing, mRNA splicing, Nuclear protein
NM_003756	EIF3S3	-1.85			EIF3S3	factor 3, subunit 3 gamma, 40kDa	Initiation factor, Protein biosynthesis
Contig47096_RC		-0.41	4.52	0.54	PFKFB4	6-phosphofructo-2- kinase/fructose- 2,6-biphosphatase 4	Kinase, Multifunctional enzyme, Transferase, Hydrolase, ATP- binding,

Accession/ Contig No.	Gene	Avg good xdev	Avg poor xdev	Correl- ation	Sequence name	Description	Sp_xref_keyword_li st
							Phosphorylation, Multigene family
NM_004209	SYNGR 3	-0.31	3.67	0.53	SYNGR3	synaptogyrin 3	Transmembrane
Contig3464_RC		0.99	-5.81	-0.52		ESTs	
Contig31646_RC		1.1	-7.76	-0.5	COL14A1	alpha 1 (undulin)	Extracellular matrix, Glycoprotein, Hypothetical protein, Collagen, Signal
Contig49388_RC		1.73	-1.75	-0.51	FLJ13322	hypothetical protein FLJ13322	Hypothetical protein
Contig41887_RC		0.37	-5.74	-0.47	LOC12422 0	similar to common salivary protein 1	Hypothetical protein

Table 8 Good and poor prognosis templates: mean subtracted log(intensity) values for each of the seventy markers for 44 breast cancer patients having a good prognosis (C1) or 34 breast cancer patients having a poor prognosis (C2) (see, PCT publication WO 2004/065545, published August 5, 2004, which is incorporated herein by reference in its entirety)

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Marker Accession	<b>C</b> 1	<b>C2</b>	SEQ ID NO
#	(good prognosis template)	(poor prognosis template)	
AL080059	-5.161569	0.043019	367
Contig63649_RC	-1.440895	0.966702	361
Contig46218_RC	-0.937662	0.815081	321
NM_016359	-1.49878	0.872829	253
AA555029_RC	-1.283504	0.543442	368
NM_003748	1.355486	-0.254201	369
Contig38288_RC	-1.237495	1.085461	297
NM 003862	0.981236	-1.619658	· 370
Contig28552_RC	-1.296043	1.067545	281
Contig32125 RC	0.855155	-0.7338	371
U82987	1.256206	-1.362807	372
AL137718	-0.55046	0.68754	373
AB037863	0.819061	-1.621057	374
NM_020188	-1.137582	0.673123	375
NM_020974	-0.463953	-5.623268	376
NM_000127	-0.618568	0.552726	377
NM_002019	-1.409168	0.547285	378
NM_002073	-1.577177	0.417352	379
NM 000436	-0.722574	0.599239	380
NM_004994	-5.561089	-2.180659	165
Contig55377_RC	0.805683	-1.16728	381
Contig35251_RC	-0.931146	0.607562	382
Contig25991	-0.720727	1.045949	383
NM_003875	-1.206839	1.163244	384
NM_006101	-0.879965	0.628296	385
NM_003882	0.529121	-0.467098	386
NM_003607	-0.959094	0.709653	387

Marker Accession	C1	C2	SEQ ID NO
#	(good prognosis template)	(poor prognosis template)	,
AF073519	-1.451486	0.163988	388
AF052162	-1.145575	0.192391	9
NM 000849	0.944742	-1.499473	389
Contig32185 RC	-0.887643	0.688257	390
NM 016577	-2.762008	0.081637	391
Contig48328 RC	0.405401	-2.946904	392
Contig46223 RC	0.805424	-0.581849	393
NM 015984	-1.056531	0.522176	394
NM 006117	1.129928	-1.262974	395
AK000745	-2.475715	-0.013002	396
Contig40831 RC	-1.17091	0.435754	397
NM 003239	0.457773	-2.150499	398
NM 014791	-1.14862	0.383018	399
X05610	-0.768514	0.637938	400
NM 016448	-0.713264	0.632638	401
NM 018401	0.618921	-0,286778	402
NM 000788	-0.995116	0.50246	403
Contig51464 RC	-0.663538	0.765975	404
AL080079	-1.794821	0.43708	405
NM 006931	-0.846271	0.915602	406
AF257175	1.122354	-0.721924	407
NM 014321	-1.820261	0.482287	241
NM 002916	-0.966852	0.599925	408
Contig55725 RC	-2.935162	0.623397	409
Contig24252 RC	-2.004671	0.263597	410
AF201951	0.355839	-2.296556	411
NM 005915	-0.586121	0.827714	412
NM 001282	0.762645	-0.970418	413
Contig56457_RC	-0.920808	0.588269	414
NM 000599	-3.612469	-0.714313	51
NM 020386	-0.46073	0.699313	415
NM 014889	-1.678462	0.2362	416
AF055033	-2.505271	-0.07576	11
NM 006681	-0.631302	0.584119	417
NM_007203	-1.426446	0.504624	418
Contig63102_RC	0.521511	-1.266163	419
NM_003981	-2.521877	0.552669	420
Contig20217_RC	-0.363574	0.449022	421
NM_001809	-2.171301	0.328419	81
Contig2399_RC	-1.174844	0.602523	422
NM_004702	-1.560133	0.619078	155
NM_007036	-0.950633	0.34945	423
NM_018354	-1.392354	0.347831	424

# 5.2. <u>DIAGNOSTIC AND PROGNOSTIC METHODS</u> 5.2.1 <u>SAMPLE COLLECTION</u>

PCT/US2006/004280 WO 2006/084272

In the present invention, markers, such as target polynucleotide molecules or proteins, are extracted from a sample taken from an individual afflicted with a condition such as breast cancer. The sample may be collected in any clinically acceptable manner, but must be collected such that marker-derived polynucleotides (i.e., RNA) are preserved (if gene expression is to be measured) or proteins are preserved (if encoded proteins are to be measured). For example, mRNA or nucleic acids derived therefrom (i.e., cDNA or amplified DNA) are preferably labeled distinguishably from standard or control polynucleotide molecules, and both are simultaneously or independently hybridized to a microarray comprising some or all of the markers or marker sets or subsets described above. Alternatively, mRNA or nucleic acids derived therefrom may be labeled with the same label sample, such as a tumor biopsy or fine needle aspirate, or a sample of bodily fluid, such as

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as the standard or control polynucleotide molecules, wherein the intensity of hybridization of each at a particular probe is compared. A sample may comprise any clinically relevant tissue blood, plasma, serum, lymph, ascitic fluid, cystic fluid, urine or nipple exudate. The sample may be taken from a human, or, in a veterinary context, from non-human animals such as ruminants, horses, swine or sheep, or from domestic companion animals such as felines and canines.

Methods for preparing total and poly(A)+ RNA are well known and are described generally in Sambrook et al., MOLECULAR CLONING - A LABORATORY MANUAL (2ND ED.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989)) and Ausubel et al., CURRENT PROTOCOLS IN MOLECULAR BIOLOGY, vol. 2, Current Protocols Publishing, New York (1994)).

RNA may be isolated from eukaryotic cells by procedures that involve lysis of the cells and denaturation of the proteins contained therein. Cells of interest include wild-type cells (i.e., non-cancerous), drug-exposed wild-type cells, tumor- or tumor-derived cells, modified cells, normal or tumor cell line cells, and drug-exposed modified cells. Preferably, the cells are breast cancer tumor cells.

Additional steps may be employed to remove DNA. Cell lysis may be accomplished with a nonionic detergent, followed by microcentrifugation to remove the nuclei and hence the bulk of the cellular DNA. In one embodiment, RNA is extracted from cells of the various types of interest using guanidinium thiocyanate lysis followed by CsCl centrifugation to separate the RNA from DNA (Chirgwin et al., Biochemistry 18:5294-5299 (1979)).

Poly(A)+ RNA is selected by selection with oligo-dT cellulose (see Sambrook et al., MOLECULAR CLONING - A LABORATORY MANUAL (2ND ED.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989). Alternatively, separation of RNA from DNA can be accomplished by organic extraction, for example, with hot phenol or phenol/chloroform/isoamyl alcohol.

If desired, RNase inhibitors may be added to the lysis buffer. Likewise, for certain cell types, it may be desirable to add a protein denaturation/digestion step to the protocol.

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For many applications, it is desirable to preferentially enrich mRNA with respect to other cellular RNAs, such as transfer RNA (tRNA) and ribosomal RNA (rRNA). Most mRNAs contain a poly(A) tail at their 3' end. This allows them to be enriched by affinity chromatography, for example, using oligo(dT) or poly(U) coupled to a solid support, such as cellulose or Sephadex<sup>TM</sup> (see Ausubel et al., Current Protocols in Molecular Biology, vol. 2, Current Protocols Publishing, New York (1994). Once bound, poly(A)+ mRNA is eluted from the affinity column using 2 mM EDTA/0.1% SDS.

The sample of RNA can comprise a plurality of different mRNA molecules, each different mRNA molecule having a different nucleotide sequence. In a specific embodiment, the mRNA molecules in the RNA sample comprise at least 5, 10, 15, 20, 25, 30, 40 or 50 different nucleotide sequences. More preferably, the mRNA molecules of the RNA sample comprise mRNA molecules corresponding to each of the marker genes. In another specific embodiment, the RNA sample is a mammalian RNA sample.

In a specific embodiment, total RNA or mRNA from cells is used in the methods of the invention. The source of the RNA can be cells of a plant or animal, human, mammal, primate, non-human animal, dog, cat, mouse, rat, bird, yeast, eukaryote, prokaryote, etc. In specific embodiments, the method of the invention is used with a sample containing total mRNA or total RNA from 1 x 10<sup>6</sup> cells or less. In another embodiment, proteins can be isolated from the foregoing sources, by methods known in the art, for use in expression analysis at the protein level.

Probes to the homologs of the marker sequences disclosed herein can be employed preferably when non-human nucleic acid is being assayed.

The prognosis may be carried out using a cellular constituent profile of any type of molecular markers. For example, sets of proteins informative for breast cancer prognosis may be used. Such protein markers may be measured, for example, by use of gel electrophoresis, such as one-dimensional polyacrylamide gel electrophoresis, two-dimensional polyacrylamide gel electrophoresis, nondenaturing polyacrylamide gel electrophoresis; isoelectric focusing gels, etc., by use of antibody arrays, etc. Of course, the particular template(s) used to classify the individual depends upon the type(s) of cellular constituents used as markers. For example, where nucleic acids (e.g., genes or nucleic acids derived from expressed genes) are used as markers, the template comprises nucleic acids (or the level of expression or abundance thereof); where proteins are used as markers, the template comprises proteins, for example, the level or abundance of those proteins; etc.

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# 5.2.2. USE OF PROGNOSTIC GENESETS FOR BREAST CANCER

According to the present invention, once genesets informative for a plurality of subsets of a condition are identified, an individual is classified into one of these subsets and a prognosis is made based on the expression of the genes, or their encoded proteins, in the geneset for that subset in a breast cancer tumor sample taken from the individual. The patient's responsiveness to chemotherapy is then determined based on the patient's subset classification and the prognosis. Various methods are known in the art that can be used for classifying an expression profile. Exemplary methods are described in Section 5.2.4, *infra*.

For example, a particular hypothetical condition has three relevant phenotypic characteristics, A, B and C. In this example, based on these characteristics, genesets informative for prognosis of four patient subsets A<sup>+</sup>B<sup>+</sup>; A<sup>+</sup>B<sup>-</sup>C<sup>+</sup>; A<sup>+</sup>B<sup>-</sup>C<sup>-</sup>; and A<sup>-</sup> are identified by the method described above. Thus, an individual having the condition would first be classified according to phenotypes A-C into one of the four patient subsets. In one embodiment, therefore, the invention provides for the classification of an individual having a condition into one of a plurality of patient subsets, wherein a set of genes informative for prognosis for the subset has been identified. A sample is then taken from the individual, and the levels of expression of the prognostically-informative genes in the sample is analyzed. In one embodiment, the expression level of each gene can be compared to the expression level of the corresponding gene in a control or reference sample to determine a differential expression level. The expression profile comprising expression levels, e.g., differential expression levels, of the plurality of genes is then compared to a template profile. In various

embodiments, the template profile is a good prognosis template comprising the average expression of informative genes in samples taken from good prognosis individuals classifiable into that patient subset; or a poor prognosis template comprising the average expression of informative genes in samples taken from poor prognosis individuals classifiable into that patient subset; or a good prognosis profile comprising a set of mathematical values that represent gene expression levels of good prognosis individuals classifiable into that patient subset; etc.

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In a specific embodiment, the phenotypic, genotypic and/or clinical classes for breast cancer are: ER<sup>-</sup>, BRCA1 individuals; ER<sup>-</sup>, sporadic individuals; ER+, ER/AGE high individuals; ER+, ER/AGE low, LN+ individuals; and ER+, ER/AGE low, LN<sup>-</sup> individuals. In this embodiment, an individual may be classified as ER+ or ER<sup>-</sup>. If the individual is ER<sup>-</sup>, the individual is additionally classified as having a BRCA1-type or sporadic tumor. ER<sup>-</sup> individuals are thus classified as ER<sup>-</sup>, BRCA1 or ER<sup>-</sup>, sporadic. Alternatively, if the individual is classified as ER+, the individual is additionally classified as having a high or low ratio of the log (ratio) of the level of expression of the gene encoding the estrogen receptor to the individual's age. Individuals having a low ratio are additionally classified as LN+ or LN-. ER+ individuals are thus classified as ER+, ER/AGE high; ER+, ER/AGE low, LN+, or ER+, ER/AGE low, LN<sup>-</sup>. Of course, the individual's ER status, tumor type, age and LN status may be identified in any order, as long as the individual is classified into one of these five subsets.

In one embodiment, a breast cancer patient is first classified into one of the following patient subsets: ER<sup>-</sup>, BRCA1 individuals; ER<sup>-</sup>, sporadic individuals; ER+, ER/AGE high individuals; ER+, ER/AGE low, LN+ individuals; and ER+, ER/AGE low, LN<sup>-</sup> individuals. The patient is then classified as having a good prognosis or a poor prognosis by comparing the patient's expression profile of a plurality of genes or their encoded proteins to a good and/or poor prognosis template profile of expression levels of said plurality of genes or their encoded proteins for the appropriate subset, and classifying said patient as having a good prognosis or poor prognosis if said patient expression profile has a high similarity to a good prognosis template or a poor prognosis template, respectively. In a preferred embodiment, the good prognosis template for a patient subset comprises the average level of expression of each of said plurality of genes informative for prognosis in tumor samples from individuals classified into said subset who have a good prognosis or good outcome, while the poor

prognosis template comprises the average level of expression of each of said plurality of genes informative for prognosis in tumor samples from individuals classified into said subset who have a poor prognosis or poor outcome. In another specific embodiment, said good or poor prognosis template is a set of mathematical values representing the average level of expression of genes informative for prognosis in tumor samples of individuals classifiable into said subset who have a good prognosis, or who have a poor prognosis, respectively.

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It is evident that the different patient subsets described herein reflect different molecular mechanisms of the initiation of tumor formation and metastasis. Thus, the genesets listed in tables 1-5 are also useful for diagnosing a person as having a particular type of breast cancer in the first instance. Thus, the invention also provides a method of diagnosing an individual as having a particular subtype of breast cancer, comprising determining an expression profile of a plurality of the genes for which markers are listed in Tables 1-5 in a sample from said individual; and comparing said expression profile to a template profile, where said template is representative of the expression of said plurality of genes in a breast cancer sample of said subtype of cancer, and on the basis of said comparison, diagnosing the individual as having said subtype of breast cancer. In a specific embodiment, said subtype of cancer is selected from the group consisting of ER, BRCA1 type; ER, sporadic type; ER+, ER/AGE high type; ER+, ER/AGE low, LN+ type; and ER/AGE low, LN type. In another specific embodiment, said template comprises the average levels of expression of a plurality of the genes for which markers are listed in Table 1, Table 2, Table 3, Table 4 or Table 5. In another specific example, said comparing comprises determining the similarity of the expression profile of the genes for which markers are listed in each of Tables 1-5 in said sample taken from said individual to a template profile comprising levels of expression of the same genes for each of Tables 1-5, and determining whether the pattern of expression of said genes in said sample is most similar to the pattern of expression of the genes for which markers are listed in Table 1, Table 2, Table 3, Table 4 or Table 5.

In another embodiment, a breast cancer patient is classified as having a good prognosis or a poor prognosis by a method comprising: (a) classifying said patient as ER, BRCA1; ER, sporadic; ER+, ER/AGE high; ER+, ER/AGE low, LN+; or ER+, ER/AGE low, LN-; (b) determining an expression profile of a first plurality of genes in a cell sample taken from the patient, said first plurality of genes comprising at least two of the genes

corresponding to the markers Table 1 if said patient is classified as ER, BRCA1; Table 2 if said patient is classified as ER, sporadic; Table 3 if said patient is classified as ER+, ER/AGE high; Table 4 if said patient is classified as ER+, ER/AGE low, LN+; or Table 5 if said patient is classified as ER+, ER/AGE low, LN, wherein said patient is "ER/AGE high" if the ER level of the patient exceeds a predetermined value, and "ER/AGE low" if the ER level of the patient does not exceed said predetermined value. In a specific embodiment of this method, said predetermined value of ER is calculated as ER = 0.1(AGE - 42.5), wherein AGE is the age of said patient. In another specific embodiment, said patient is ER, BRCA1, and said plurality of genes comprises at least 1, 2, 3, 4, 5, 10 or all of the genes for which markers are listed in Table 1. In another specific embodiment, said patient is ER, sporadic, and said plurality of genes comprises at least 1, 2, 3, 4, 5, 10 or all of the genes for which markers are listed in Table 2. In another specific embodiment, said patient is ER+, ER/AGE high, and said plurality of genes comprises at least 1, 2, 3, 4, 5, 10 or all of the genes for which markers are listed in Table 3. In another specific embodiment, said patient is ER+, ER/AGE low, LN+, and said plurality of genes comprises at least 1, 2, 3, 4, 5, 10 or all of the genes for which markers are listed in Table 4. In another specific embodiment, said patient is ER+, ER/AGE low, LN, and said plurality of genes comprises at least 1, 2, 3, 4, 5, 10 or all of the genes for which markers are listed in Table 5. In another specific embodiment, the method additionally comprises determining in said cell sample the level of expression, relative to a control, of a second plurality of genes for which markers are not found in Tables 1-5, wherein said second plurality of genes is informative for prognosis.

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Where information is available regarding the LN status of a breast cancer patient, the patient may be identified as having a "very good prognosis," an "intermediate prognosis," or a poor prognosis, which enables the refinement of treatment. In one embodiment, the invention provides a method of assigning a therapeutic regimen to a breast cancer patient, comprising: (a) classifying said patient as having a "poor prognosis," "intermediate prognosis," or "very good prognosis" on the basis of the levels of expression of at least five genes for which markers are listed in Table 1, Table 2, Table 3, Table 4 or Table 5; and (b) assigning said patient a therapeutic regimen, said therapeutic regimen (i) comprising no adjuvant chemotherapy if the patient is lymph node negative and is classified as having a good prognosis or an intermediate prognosis, or (ii) comprising chemotherapy if said patient has any other combination of lymph node status and expression profile.

In another embodiment, a breast cancer patient is assigned a prognosis by a method comprising (a) determining the breast cancer patient's age, ER status, LN status and tumor type; (b) classifying said patient as ER, sporadic; ER, BRCA1; ER+, ER/AGE high; ER+, ER/AGE low, LN+; or ER+, ER/AGE low, LN-; (c) determining an expression profile comprising at least five genes in a cell sample taken from said breast cancer patient wherein markers for said at least five genes are listed in Table 1 if said patient is classified as ER, sporadic; Table 2 if said patient is classified as ER, BRCA1; Table 3 if said patient is classified as ER+, ER/AGE high; Table 4 if said patient is classified as ER+, ER/AGE low, LN+; or Table 5 if said patient is classified as ER+, ER/AGE high, LN<sup>-</sup>; (d) determining the similarity of the expression profile of said at least five genes to a template profile comprising levels of expression of said at least five genes to obtain a patient similarity value; (e) comparing said patient similarity value to selected first and second threshold values of similarity, respectively, wherein said second similarity threshold indicates greater similarity to said template expression profile than does said first similarity threshold; and (f) classifying said breast cancer patient as having a first prognosis if said patient similarity value exceeds said second threshold similarity values, a second prognosis if said patient similarity value exceeds said first threshold similarity value but does not exceed said second threshold similarity value, and a third prognosis if said patient similarity value does not exceed said first threshold similarity value. In a specific embodiment of the method, said first prognosis is a "very good prognosis," said second prognosis is an "intermediate prognosis," and said third prognosis is a "poor prognosis," wherein said breast cancer patient is assigned a therapeutic regimen comprising no adjuvant chemotherapy if the patient is lymph node negative and is classified as having a good prognosis or an intermediate prognosis, or comprising chemotherapy if said patient has any other combination of lymph node status and expression profile.

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The invention also provides a method of assigning a therapeutic regimen to a breast cancer patient, comprising: (a) determining the lymph node status for said patient; (b) determining the expression of at least five genes for which markers are listed in Table 5 in a cell sample from said patient, thereby generating an expression profile; (c) classifying said patient as having a "poor prognosis," "intermediate prognosis," or "very good prognosis" on the basis of said expression profile; and (d) assigning said patient a therapeutic regimen, said therapeutic regimen comprising no adjuvant chemotherapy if the patient is lymph node negative and is classified as having a good prognosis or an intermediate prognosis, or

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comprising chemotherapy if said patient has any other combination of lymph node status and classification. In a specific embodiment of this method, said therapeutic regimen assigned to lymph node negative patients classified as having an "intermediate prognosis" additionally comprises adjuvant hormonal therapy. In another specific embodiment of this method, said classifying step (c) is carried out by a method comprising: (a) rank ordering in descending order a plurality of breast cancer tumor samples that compose a pool of breast cancer tumor samples by the degree of similarity between the expression profile of said at least five genes in each of said tumor samples and the expression profile of said at least five genes across all remaining tumor samples that compose said pool, said degree of similarity being expressed as a similarity value; (b) determining an acceptable number of false negatives in said classifying step, wherein a false negative is a breast cancer patient for whom the expression levels of said at least five genes in said cell sample predicts that said breast cancer patient will have no distant metastases within the first five years after initial diagnosis, but who has had a distant metastasis within the first five years after initial diagnosis; (c) determining a similarity value above which in said rank ordered list said acceptable number of tumor samples or fewer are false negatives; (d) selecting said similarity value determined in step (c) as a first threshold similarity value; (e) selecting a second similarity value, greater than said first similarity value, as a second threshold similarity value; and (f) determining the similarity between the expression profile of said at least five genes in a breast cancer tumor sample from the breast cancer patient and the expression profile of said respective at least five genes in said pool, to obtain a patient similarity value, wherein if said patient similarity value equals or exceeds said second threshold similarity value, said patient is classified as having a "very good prognosis"; if said patient similarity value equals or exceeds said first threshold similarity value, but is less than said second threshold similarity value, said patient is classified as having an "intermediate prognosis"; and if said patient similarity value is less than said first threshold similarity value, said patient is classified as having a "poor prognosis." Another specific embodiment of this method comprises determining the estrogen receptor (ER) status of said patient, wherein if said patient is ER positive and lymph node negative, said therapeutic regimen assigned to said patient additionally comprises adjuvant hormonal therapy.

The invention provides a method of predicting the responsiveness of a breast cancer patient to chemotherapy based on the patient's cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from the patient, the

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patient's estrogen receptor level ("ER level"), and the patient's estrogen receptor level relative to the patient's age ("ER/AGE"). In the method of the invention, a patient is classified into an appropriate chemotherapy responsiveness group as compared to patients in the general population of breast cancer patients. The inventors have discovered that a patient exhibits enhanced response to chemotherapy, e.g., to treatment by a combination of cyclophosphamide, methotrexate, and 5-fluorouracil (the "CMF combination"), as compared to patients in the general population of breast cancer patients if the patient's cellular constituent profile indicates poor prognosis, and the patient's ER level is ER+, and the patient's estrogen receptor level relative to the patient's age ER/AGE is low, whereas the patient exhibits reduced response to chemotherapy as compared to patients in the general population if (i) the patient's ER level is ER, or (ii) the patient's cellular constituent profile indicates poor prognosis, and the patient's ER level is ER+, and the patient's estrogen receptor level relative to the patient's age ER/AGE is high. Here, ER+ designates a high ER level and ER designates a low ER level. In one embodiment, the ER levels are measured by immunohistochemical staining with tissue samples, and those patients whose tissue samples show greater than 10% of nuclei showing staining is deemed ER<sup>+</sup> and less than 10% of nuclei showing staining is deemed ER. In another embodiment, ER+ and ER- patients are separated by the transcript or mRNA level of a gene encoding the estrogen receptor measured using a microarray, with ER+ patients having log10(ratio) > -0.65, and ER- patients having log10(ratio) = or <-0.65, where the ratio is the ratio of the estrogen receptor mRNA level of the patient sample and a control sample, e.g., a pool of cellular constituents from a plurality of different breast tumor samples. Preferably, the plurality of samples comprises at least 50, 100, 200, or 300 different samples. In addition, the inventors have also found that if the patient's cellular constituent profile indicates a good prognosis, then the patient does not need chemotherapy. The method of the invention is particularly useful for predicting the responsiveness of a breast cancer patient under the age of 55 to chemotherapy, e.g., treatment by the CMF combination.

In one embodiment, the patient's cellular constituent profile is evaluated to determine whether the profile indicates good prognosis or poor prognosis. In a preferred embodiment, the patient's prognosis is evaluated by comparing the cellular constituent profile to a predetermined cellular constituent template profile corresponding to a certain prognosis level, e.g., a good prognosis template comprising measurements of the plurality of cellular constituents which are representative of levels of the cellular constituents in a plurality of

good outcome patients or a poor prognosis template comprising measurements of the plurality of cellular constituents which are representative of levels of the cellular constituents in a plurality of poor outcome patients. In a preferred embodiment, the good prognosis template comprises average levels of the respective cellular constituents in a plurality of good outcome patients. In a preferred embodiment, the poor prognosis template comprises average levels of the respective cellular constituents in a plurality of poor outcome patients. In one embodiment, the average level of each cellular constituent in the good prognosis or poor prognosis template is a simple average. In another embodiment, the average level of each cellular constituent in the good prognosis or poor prognosis template is an error-weighted average. Herein a good outcome patient is a patient who has non-occurrence of metastases within a period of time after initial diagnosis, e.g., a period of 1, 2, 3, 4, 5 or 10 years, and a poor outcome patient is a patient who has occurrence of metastases within a period of time after initial diagnosis, e.g., a period of 1, 2, 3, 4, 5 or 10 years. In a preferred embodiment, both periods are 10 years. Table 8 shows exemplary good (column C<sub>1</sub>) and poor (column C<sub>2</sub>) template profiles for the 70-gene marker set.

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The degree of similarity of the patient's cellular constituent profile to a template representing good or poor prognosis can be used to indicate whether the patient has good or poor prognosis. In a preferred embodiment, a patient is classified as having a good prognosis profile if the patient's cellular constituent profile has a high similarity to a good prognosis template and/or has a low similarity to a poor prognosis template. In another embodiment, a patient is classified as having a poor prognosis profile if the patient's cellular constituent profile has a low similarity to a good prognosis template and/or has a high similarity to a poor prognosis template. In embodiments for predicting the responsiveness of a breast cancer patient under the age of 55, the patients in the good and poor outcome patient populations used to generate the templates are preferably also under the age of 55 at the time of diagnosis of breast cancer.

The degree of similarity between a patient's cellular constituent profile and a template profile can be determined using any method known in the art. In one embodiment, the similarity is represented by a correlation coefficient between the patient's profile and the template. In one embodiment, a correlation coefficient above a correlation threshold indicates high similarity, whereas a correlation coefficient below the threshold indicates low similarity. In preferred embodiments, the correlation threshold is set as 0.3, 0.4, 0.5 or 0.6.

In another embodiment, similarity between a patient's profile and a template is represented by a distance between the patient's profile and the template. In one embodiment, a distance below a given value indicates high similarity, whereas a distance equal to or greater than the given value indicates low similarity.

As an illustration, in one embodiment, a template for a good prognosis is defined as  $\vec{c}_1$  (e.g., a profile consisting of the values listed in the good prognosis  $C_1$  column of Table 8) and/or a template for poor prognosis is defined as  $\vec{c}_2$  (e.g., a profile consisting of the values listed in the good prognosis  $C_2$  column of Table 8). Either one or both of the two classifier parameters ( $P_1$  and  $P_2$ ) can then be used to measure degrees of similarities between a patient's profile and the templates:  $P_1$  measures the similarity between the patient's profile  $\vec{y}$  and the good prognosis template  $\vec{c}_1$ , and  $P_2$  measures the similarity between  $\vec{y}$  and the poor prognosis template  $\vec{c}_2$ . In embodiments which employ correlation coefficients, the correlation coefficients  $P_i$  can be calculated as:

$$P_{i} = (\vec{c}_{i} \bullet \vec{y}) / (\|\vec{c}_{i}\| \cdot \|\vec{y}\|) \tag{4}$$

15 where i = 1 and 2.

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Thus, in one embodiment,  $\vec{y}$  is classified as a good prognosis profile if  $P_1$  is greater than a selected correlation threshold or if  $P_2$  is equal to or less than a selected correlation threshold. In another embodiment,  $\vec{y}$  is classified as a poor prognosis profile if  $P_1$  is less than a selected correlation threshold or if  $P_2$  is above a selected correlation threshold. In still another embodiment,  $\vec{y}$  is classified as a good prognosis profile if  $P_1$  is greater than a first selected correlation threshold and  $\vec{y}$  is classified as a poor prognosis profile if  $P_2$  is greater than a second selected correlation threshold.

Other methods known in the art, e.g., the methods described in Section 5.2.4, *infra*, can also be used for classifying an expression profile according to prognosis.

In a preferred embodiment, the cellular constituent profile is an expression profile comprising measurements of a plurality of transcripts (measured e.g., by measuring mRNAs or cDNA) in a sample derived from a patient. In this embodiment, the good prognosis template can be a good prognosis expression template comprising measurements of the

plurality of transcripts which are representative of expression levels of the transcripts in a plurality of good outcome patients, and the poor prognosis template can be a poor prognosis expression template comprising measurements of the plurality of transcripts which are representative of expression levels of the transcripts in a plurality of poor outcome patients. In a preferred embodiment, measurement of each transcript in the good or poor prognosis expression template is an average of expression levels of the transcript in the plurality of good or poor outcome patients, respectively. In one embodiment, each measurement is a mean subtracted log(intensity) (see, PCT publication WO 2004/065545, published August 5, 2004, which is incorporated herein by reference in its entirety). In one embodiment, the plurality of transcripts consists of transcripts corresponding to at least a portion of the set of genes listed in Table 8. Preferably, the plurality of transcripts consists of transcripts corresponding to at least 50%, 60%, 70%, 80%, 85%, 90%, 95% or 98% of the set of genes listed in Table 8, or at least 5, 10, 15, 20, 25, 30, 35, 40, 45, 50, 55, 60, or 65 of the genes listed in Table 8. In a preferred embodiment, the plurality of transcripts consists of transcripts corresponding to all the genes listed in Table 8.

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In another embodiment, the expression profile is a differential expression profile comprising differential measurements of said plurality of transcripts in a sample derived from said patient versus measurements of said plurality of transcripts in a control sample. The differential measurements can be xdev, log(ratio), error-weighted log(ratio), or a mean subtracted log(intensity) (see, e.g., PCT publication WO 00/39339, published on July 6, 2000; PCT publication WO 2004/065545, published August 5, 2004, each of which is incorporated herein by reference in its entirety).

In another embodiment, the cellular constituent profile comprises measurements of a plurality of protein species in a sample derived from the patient. In this embodiment, a good prognosis template comprises measurements of the plurality of protein species which are representative of levels of the protein species in a plurality of good outcome patients, and the poor prognosis template comprises measurements of the plurality of protein species which are representative of levels of the protein species in the plurality of poor outcome patients.

The patient's cellular constituent profile can be determined by any method known in the art, e.g., as described in Section 5.3.

The methods of the invention preferably use a control or reference sample, which can be any suitable sample against which changes in cellular constituents can be determined. In one embodiment, the control or reference sample is generated by pooling together the plurality of cellular constituents, e.g., a plurality of transcripts or cDNAs, or a plurality of protein species, from a plurality of breast cancer patients. Alternatively, the control or reference sample can be generated by pooling together purified or synthesized cellular constituents, e.g., a plurality of purified or synthesized transcripts or cDNAs, a plurality of purified or synthesized protein species. In one embodiment, synthetic RNAs for each transcripts or cDNAs are pooled to form the control or reference sample. Preferably, the abundances of synthetic RNAs are approximately the abundances of the corresponding transcripts in a real tumor pool. The differential expression of marker genes for each individual patient sample is measured against this control sample. In one embodiment, 60mer oligonucleotides corresponding to the probe sequences on a microarray used to assay the expression levels of the diagnostic/prognostic transcripts are synthesized and cloned into pBluescript SK- vector (Statagene, La Jolla, CA), adjacent to the T7 promotor sequence. Individual clones are isolated, and the sequences of their inserts are verified by DNA sequencing. To generate synthetic RNAs, clones are linearized with EcoRI and a T7 in vitro transcription (IVT) reaction is performed by MegaScript kit (Ambion, Austin, TX), followed by DNase treatment of the product. Synthetic RNAs are purified on RNeasy columns (Qiagen, Valencia, CA). These synthetic RNAs are transcribed, amplified, labeled, and mixed together to make the reference pool. The abundance of those synthetic RNAs are chosen to approximate the abundances of the transcripts of the corresponding marker genes in the real tumor pool.

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In one embodiment, the ER level is determined by measuring an expression level of a gene encoding the estrogen receptor in the patient relative to that in a control sample. In a preferred embodiment, the gene encoding the estrogen receptor is the estrogen receptor  $\alpha$  gene. In another embodiment, the ER level is measured by an oligonucleotide probe that detects the transcript of the gene having accession number NM\_000125 (SEQ ID NO: 425). The control sample is a pool of breast cancer cells from different patients. In this embodiment, the ER level is classified as ER<sup>+</sup> if the log(ratio) > -0.65, and is classified as ER<sup>-</sup> otherwise (see, e.g., van't Veer et al., 2002, Nature 415:530). In another embodiment, the ER level is determined by immunohistochemical staining measurement of the level of the estrogen receptors in a tissue sample of the patient. In one embodiment, the ER level is

classified as ER<sup>+</sup> if immunohistochemical staining shows greater than 10% of nuclei showing staining and the ER level is classified as ER<sup>-</sup>, if less than 10% nuclei of showing staining.

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The patient's estrogen receptor level relative to the patient's age can be measured using an appropriate metric designated as ER/AGE. If the individual's ER level is high relative to the individual's age, e.g., if the expression level of an estrogen receptor gene of the individual is higher than an age-dependent threshold value, the individual is classified as ER/AGE high. In one embodiment, the log(ratio) of ER expression of an individual of a particular age is compared with the threshold value for the individual's age, and an ER expression level equal to or greater than the threshold value is deemed high. In one embodiment, the patient's estrogen receptor level as measured by  $\log 10$  (ratio) is compared to a parameter defined as  $c \cdot (AGE - d)$ , where c is a coefficient, AGE is the age of said patient, and d is an age threshold. The patient is classified as having high ER/AGE if the patient's ER level is greater than  $c \cdot (AGE - d)$ , and the patient is classified as having low ER/AGE if the patient's ER level and AGE used. They can be determined by fitting patients' ER level-age distribution to a bimodal distribution of two subgroups each having a different ER level-age dependence. In a preferred embodiment, c = 0.1 and d = 42.5.

Chemotherapy can be performed using any one or a combination of the anti-cancer drugs known in the art, including but are not limited to any topoisomerase inhibitor, DNA binding agent, anti-metabolite, ionizing radiation, or a combination of two or more of such known DNA damaging agents.

A topoisomerase inhibitor that can be used in conjunction with the invention can be a topoisomerase I (Topo I) inhibitor, a topoisomerase II (Topo II) inhibitor, or a dual topoisomerase I and II inhibitor. A topo I inhibitor can be from any of the following classes of compounds: camptothecin analogue (e.g., karenitecin, aminocamptothecin, lurtotecan, topotecan, irinotecan, BAY 56-3722, rubitecan, GI14721, exatecan mesylate), rebeccamycin analogue, PNU 166148, rebeccamycin, TAS-103, camptothecin (e.g., camptothecin polyglutamate, camptothecin sodium), intoplicine, ecteinascidin 743, J-107088, pibenzimol. Examples of preferred topo I inhibitors include but are not limited to camptothecin, topotecan (hycaptamine), irinotecan (irinotecan hydrochloride), belotecan, or an analogue or derivative thereof.

A topo II inhibitor that can be used in conjunction with the invention can be from any of the following classes of compounds: anthracycline antibiotics (e.g., carubicin, pirarubicin, daunorubicin citrate liposomal, daunomycin, 4-iodo-4-doxydoxorubicin, doxorubicin, n,n-dibenzyl daunomycin, morpholinodoxorubicin, aclacinomycin antibiotics, duborimycin, menogaril, nogalamycin, zorubicin, epirubicin, marcellomycin, detorubicin, annamycin, 7-cyanoquinocarcinol, deoxydoxorubicin, idarubicin, GPX-100, MEN-10755, valrubicin, KRN5500), epipodophyllotoxin compound (e.g., podophyllin, teniposide, etoposide, GL331, 2-ethylhydrazide), anthraquinone compound (e.g., ametantrone, bisantrene, mitoxantrone, anthraquinone), ciprofloxacin, acridine carboxamide, amonafide, anthrapyrazole antibiotics (e.g., teloxantrone, sedoxantrone trihydrochloride, piroxantrone, anthrapyrazole, losoxantrone), TAS-103, fostriecin, razoxane, XK469R, XK469, chloroquinoxaline sulfonamide, merbarone, intoplicine, elsamitrucin, CI-921, pyrazoloacridine, elliptinium, amsacrine. Examples of preferred topo II inhibitors include but are not limited to doxorubicin (Adriamycin), etoposide phosphate (etopofos), teniposide, sobuzoxane, or an analogue or derivative thereof.

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DNA binding agents that can be used in conjunction with the invention include but are not limited to DNA groove binding agent, e.g., DNA minor groove binding agent; DNA crosslinking agent; intercalating agent; and DNA adduct forming agent. A DNA minor groove binding agent can be an anthracycline antibiotic, mitomycin antibiotic (e.g., porfiromycin, KW-2149, mitomycin B, mitomycin A, mitomycin C), chromomycin A3, carzelesin, actinomycin antibiotic (e.g., cactinomycin, dactinomycin, actinomycin F1), brostallicin, echinomycin, bizelesin, duocarmycin antibiotic (e.g., KW 2189), adozelesin, olivomycin antibiotic, plicamycin, zinostatin, distamycin, MS-247, ecteinascidin 743, amsacrine, anthramycin, and pibenzimol, or an analogue or derivative thereof.

DNA crosslinking agents include but are not limited to antineoplastic alkylating agent, methoxsalen, mitomycin antibiotic, psoralen. An antineoplastic alkylating agent can be a nitrosourea compound (e.g., cystemustine, tauromustine, semustine, PCNU, streptozocin, SarCNU, CGP-6809, carmustine, fotemustine, methylnitrosourea, nimustine, ranimustine, ethylnitrosourea, lomustine, chlorozotocin), mustard agent (e.g., nitrogen mustard compound, such as spiromustine, trofosfamide, chlorambucil, estramustine, 2,2,2-trichlorotriethylamine, prednimustine, novembichin, phenamet, glufosfamide, peptichemio, ifosfamide, defosfamide, nitrogen mustard, phenesterin, mannomustine, cyclophosphamide,

melphalan, perfosfamide, mechlorethamine oxide hydrochloride, uracil mustard, bestrabucil, DHEA mustard, tallimustine, mafosfamide, aniline mustard, chlornaphazine; sulfur mustard compound, such as bischloroethylsulfide; mustard prodrug, such as TLK286 and ZD2767), ethylenimine compound (e.g., mitomycin antibiotic, ethylenimine, uredepa, thiotepa, diaziquone, hexamethylene bisacetamide, pentamethylmelamine, altretamine, carzinophilin, triaziquone, meturedepa, benzodepa, carboquone), alkylsulfonate compound (e.g., dimethylbusulfan, Yoshi-864, improsulfan, piposulfan, treosulfan, busulfan, hepsulfam), epoxide compound (e.g., anaxirone, mitolactol, dianhydrogalactitol, teroxirone), miscellaneous alkylating agent (e.g., ipomeanol, carzelesin, methylene dimethane sulfonate, mitobronitol, bizelesin, adozelesin, piperazinedione, VNP40101M, asaley, 6hydroxymethylacylfulvene, EO9, etoglucid, ecteinascidin 743, pipobroman), platinum compound (e.g., ZD0473, liposomal-cisplatin analogue, satraplatin, BBR 3464, spiroplatin, ormaplatin, cisplatin, oxaliplatin, carboplatin, lobaplatin, zeniplatin, iproplatin), triazene compound (e.g., imidazole mustard, CB10-277, mitozolomide, temozolomide, procarbazine, dacarbazine), picoline compound (e.g., penclomedine), or an analogue or derivative thereof. Examples of preferred alkylating agents include but are not limited to cisplatin, dibromodulcitol, fotemustine, ifosfamide (ifosfamid), ranimustine (ranomustine), nedaplatin (latoplatin), bendamustine (bendamustine hydrochloride), eptaplatin, temozolomide (methazolastone), carboplatin, altretamine (hexamethylmelamine), prednimustine, oxaliplatin (oxalaplatinum), carmustine, thiotepa, leusulfon (busulfan), lobaplatin, cyclophosphamide, bisulfan, melphalan, and chlorambucil, or analogues or derivatives thereof.

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Intercalating agents can be an anthraquinone compound, bleomycin antibiotic, rebeccamycin analogue, acridine, acridine carboxamide, amonafide, rebeccamycin, anthrapyrazole antibiotic, echinomycin, psoralen, LU 79553, BW A773U, crisnatol mesylate, benzo(a)pyrene-7,8-diol-9,10-epoxide, acodazole, elliptinium, pixantrone, or an analogue or derivative thereof.

DNA adduct forming agents include but are not limited to enediyne antitumor antibiotic (e.g., dynemicin A, esperamicin A1, zinostatin, dynemicin, calicheamicin gamma 11), platinum compound, carmustine, tamoxifen (e.g., 4-hydroxy-tamoxifen), psoralen, pyrazine diazohydroxide, benzo(a)pyrene-7,8-diol-9,10-epoxide, or an analogue or derivative thereof.

Anti-metabolites include but are not limited to cytosine, arabinoside, floxuridine, fluorouracil, mercaptopurine, Gemcitabine, and methotrexate (MTX).

In a specific embodiment, a KSP inhibitor (1S)-1-{[(2S)-4-(2,5-difluorophenyl)-2-phenyl-2,5-dihydro-1H-pyrrol-1-yl]carbonyl}-2-methylpropylamine (see, PCT application PCT/US03/18482, filed June 12, 2003, which is incorporated herein by reference in its entirety), is used alone or in combination with other anti-cancer drugs for chemotherapy.

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In another specific embodiment, the chemotherapy is carried out using the CMF combination consisting of cyclophosphamide, methotrexate, and 5-fluorouracil.

## 5.2.3. <u>IMPROVING SENSITIVITY TO EXPRESSION LEVEL DIFFERENCES</u>

In using the markers disclosed herein, and, indeed, using any sets of markers, e.g., to compare profiles or to differentiate an individual having one phenotype from another individual having a second phenotype, one can compare the profile comprising absolute expression levels of the markers in a sample to a template; for example, a template comprising the average levels of expression of the markers in a plurality of individuals. To increase the sensitivity of the comparison, however, the expression level values are preferably transformed in a number of ways. Also, to differentiate an individual having one phenotype from another individual having a second phenotype using any sets of markers, one can compare the absolute expression of each of the markers in a sample to a control; for example, the control can be the average level of expression of each of the markers, respectively, in a pool of individuals.

For example, the expression level of each of the markers can be normalized by the average expression level of all markers the expression level of which is determined, or by the average expression level of a set of control genes. Thus, in one embodiment, the markers are represented by probes on a microarray, and the expression level of each of the markers is normalized by the mean or median expression level across all of the genes represented on the microarray, including any non-marker genes. In a specific embodiment, the normalization is carried out by dividing the median or mean level of expression of all of the genes on the microarray. In another embodiment, the expression levels of the markers is normalized by the mean or median level of expression of a set of control markers. In a specific embodiment, the control markers comprise a set of housekeeping genes. In another specific

embodiment, the normalization is accomplished by dividing by the median or mean expression level of the control genes.

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The sensitivity of a marker-based assay will also be increased if the expression levels of individual markers are compared to the expression of the same markers in a pool of samples. Preferably, the comparison is to the mean or median expression level of each the marker genes in the pool of samples. Such a comparison may be accomplished, for example, by dividing by the mean or median expression level of the pool for each of the markers from the expression level each of the markers in the sample. This has the effect of accentuating the relative differences in expression between markers in the sample and markers in the pool as a whole, making comparisons more sensitive and more likely to produce meaningful results that the use of absolute expression levels alone. The expression level data may be transformed in any convenient way; preferably, the expression level data for all is log transformed before means or medians are taken.

In performing comparisons to a pool, two approaches may be used. First, the expression levels of the markers in the sample may be compared to the expression level of those markers in the pool, where nucleic acid derived from the sample and nucleic acid derived from the pool are hybridized during the course of a single experiment. Such an approach requires that new pool nucleic acid be generated for each comparison or limited numbers of comparisons, and is therefore limited by the amount of nucleic acid available. Alternatively, and preferably, the expression levels in a pool, whether normalized and/or transformed or not, are stored on a computer, or on computer-readable media, to be used in comparisons to the individual expression level data from the sample (i.e., single-channel data).

The current invention also provides the following method of classifying a first cell or organism as having one of at least two different phenotypes, where the different phenotypes comprise a first phenotype and a second phenotype. The level of expression of each of a plurality of markers in a first sample from the first cell or organism is compared to the level of expression of each of said markers, respectively, in a pooled sample from a plurality of cells or organisms, the plurality of cells or organisms comprising different cells or organisms exhibiting said at least two different phenotypes, respectively, to produce a first compared value. The first compared value is then compared to a second compared value, wherein said second compared value is the product of a method comprising comparing the level of

expression of each of said markers in a sample from a cell or organism characterized as having said first phenotype to the level of expression of each of said markers, respectively, in the pooled sample. The first compared value is then compared to a third compared value, wherein said third compared value is the product of a method comprising comparing the level of expression of each of the markers in a sample from a cell or organism characterized as having the second phenotype to the level of expression of each of the markers, respectively, in the pooled sample. In specific embodiments, the marker can be a gene, a protein encoded by the gene, etc. Optionally, the first compared value can be compared to additional compared values, respectively, where each additional compared value is the product of a method comprising comparing the level of expression of each of said markers in a sample from a cell or organism characterized as having a phenotype different from said first and second phenotypes but included among the at least two different phenotypes, to the level of expression of each of said genes, respectively, in said pooled sample. Finally, a determination is made as to which of said second, third, and, if present, one or more additional compared values, said first compared value is most similar, wherein the first cell or organism is determined to have the phenotype of the cell or organism used to produce said compared value most similar to said first compared value.

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The sensitivity of a marker-based assay will also be increased if the expression levels of individual markers are compared to the expression of the same markers in a control sample, e.g., a sample comprises a pool of samples, to generate a differential expression profile. Such a comparison may be accomplished, for example, by determining a ratio between expression level of each marker in the sample and the expression level of the corresponding marker in the control sample. This has the effect of accentuating the relative differences in expression between markers in the sample and markers in the control as a whole, making subsequent comparisons to a template more sensitive and more likely to produce meaningful results than the use of absolute expression levels alone. The comparison may be performed in any convenient way, e.g., by taking difference, ratio, or log(ratio).

In performing comparisons to a control sample, two approaches may be used. First, the expression levels of the markers in the sample may be compared to the expression level of those markers in the control sample, e.g., where nucleic acid derived from the sample and nucleic acid derived from the control are hybridized during the course of a single experiment. Such an approach requires that new control sample of nucleic acid be generated for each

comparison or limited numbers of comparisons, and is therefore limited by the amount of nucleic acid available. Alternatively, the expression levels in a control sample, whether normalized and/or transformed or not, are stored on a computer, or on computer-readable media, to be used in comparisons to the individual expression level data from the sample (i.e., single-channel data).

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The methods of the invention preferably use a control or reference sample, which can be any suitable sample against which changes in cellular constituents can be determined. In one embodiment, the control or reference sample is generated by pooling together the plurality of cellular constituents, e.g., a plurality of transcripts or cDNAs, or a plurality of protein species, from a plurality of breast cancer patients. Alternatively, the control or reference sample can be generated by pooling together purified or synthesized cellular constituents, e.g., a plurality of purified or synthesized transcripts or cDNAs, a plurality of purified or synthesized protein species. In one embodiment, synthetic RNAs for each transcripts or cDNAs are pooled to form the control or reference sample. Preferably, the abundances of synthetic RNAs are approximately the abundances of the corresponding transcripts in a real tumor pool. The differential expression of marker genes for each individual patient sample is measured against this control sample. In one embodiment, 60mer oligonucleotides corresponding to the probe sequences on a microarray used to assay the expression levels of the diagnostic/prognostic transcripts are synthesized and cloned into pBluescript SK- vector (Statagene, La Jolla, CA), adjacent to the T7 promotor sequence. Individual clones are isolated, and the sequences of their inserts are verified by DNA sequencing. To generate synthetic RNAs, clones are linearized with EcoRI and a T7 in vitro transcription (IVT) reaction is performed by MegaScript kit (Ambion, Austin, TX), followed by DNase treatment of the product. Synthetic RNAs are purified on RNeasy columns (Qiagen, Valencia, CA). These synthetic RNAs are transcribed, amplified, labeled, and mixed together to make the reference pool. The abundance of those synthetic RNAs are chosen to approximate the abundances of the transcripts of the corresponding marker genes in the real tumor pool.

The current invention provides the following method of classifying a first cell or organism as having one of at least two different phenotypes, where the different phenotypes comprise a first phenotype and a second phenotype. The level of expression of each of a plurality of markers in a first sample from the first cell or organism is compared to the level

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of expression of each of said markers, respectively, in a pooled sample from a plurality of cells or organisms, the plurality of cells or organisms comprising different cells or organisms exhibiting said at least two different phenotypes, respectively, to produce a first compared value so that a first differential profile comprising a plurality of first compared values for said plurality of markers is generated. The first differential profile is then compared to a second differential profile comprising a plurality of second compared values, wherein each said second compared value is the product of a method comprising comparing the level of expression of each of said markers in a sample from a cell or organism characterized as having said first phenotype to the level of expression of each of said markers, respectively, in the pooled sample. The first differential profile is then compared to a third differential profile comprising a plurality of third compared values, wherein each said third compared value is the product of a method comprising comparing the level of expression of each of the markers in a sample from a cell or organism characterized as having the second phenotype to the level of expression of each of the markers, respectively, in the pooled sample. In specific embodiments, each marker can be a gene, a protein encoded by the gene, etc. Optionally, the first differential profile can be compared to additional expression profiles each of which comprising additional compared values, respectively, where each additional compared value is the product of a method comprising comparing the level of expression of each of said markers in a sample from a cell or organism characterized as having a phenotype different from said first and second phenotypes but included among the at least two different phenotypes, to the level of expression of each of said genes, respectively, in said pooled sample. Finally, a determination is made as to which of said second, third, and, if present, one or more additional differential profiles, said first differential profile is most similar, wherein the first cell or organism is determined to have the phenotype of the cell or organism used to produce said differential profile most similar to said first differential profile.

In a specific embodiment of this method, the compared values are each ratios of the levels of expression of each of said genes. In another specific embodiment, each of the levels of expression of each of the genes in the pooled sample is normalized prior to any of the comparing steps. In a more specific embodiment, the normalization of the levels of expression is carried out by dividing by the median or mean level of the expression of each of the genes or dividing by the mean or median level of expression of one or more housekeeping genes in the pooled sample from said cell or organism. In another specific embodiment, the normalized levels of expression are subjected to a log transform, and the comparing steps

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comprise subtracting the log transform from the log of the levels of expression of each of the genes in the sample. In another specific embodiment, the two or more different phenotypes are different stages of a disease or disorder. In still another specific embodiment, the two or more different phenotypes are different prognoses of a disease or disorder. In yet another specific embodiment, the levels of expression of each of the genes, respectively, in the pooled sample or said levels of expression of each of said genes in a sample from the cell or organism characterized as having the first phenotype, second phenotype, or said phenotype different from said first and second phenotypes, respectively, are stored on a computer or on a computer-readable medium.

In another specific embodiment, the two phenotypes are good prognosis and poor prognosis. In a more specific embodiment, the two phenotypes are good prognosis and poor prognosis for an individual that is identified as having ER<sup>-</sup>, *BRCA1* status, ER<sup>-</sup>, sporadic status, ER+, ER/AGE high status, ER+, ER/AGE low, LN+ status, or ER+, ER/AGE low, LN+ status.

In another specific embodiment, the comparison is made between the expression profile of the genes in the sample and the expression profile of the same genes in a pool representing only one of two or more phenotypes. In the context of prognosis-correlated genes, for example, one can compare the expression levels of prognosis-related genes in a sample to the average levels of the expression of the same genes in a plurality of "good prognosis" samples (as opposed to a plurality of samples that include samples from patients having poor prognoses and good prognoses). Thus, in this method, a sample is classified as having a good prognosis if the expression profile of prognosis-correlated genes exceeds a chosen coefficient of correlation to the average "good prognosis" expression profile (e.g., the profile comprising average levels of expression of prognosis-correlated genes in samples from a plurality of patients having a "good prognosis"). Patients whose expression profiles correlate more poorly with the "good prognosis" expression profile (e.g., whose correlation coefficient fails to exceed the chosen coefficient) are classified as having a poor prognosis.

Where individuals are classified on the basis of phenotypic, genotypic, or clinical characteristics into patient subsets, the pool of samples may be a pool of samples for the phenotype that includes samples representing each of the patient subsets. Alternatively, the pool of samples may be a pool of samples for the phenotype representing only the specific patient subset. For example, where an individual is classified as ER+, sporadic, the pool of

samples to which the individual's sample is compared may be a pool of samples from ER+, sporadic individuals having a good prognosis only, or may be a pool of samples of individuals having a good prognosis, without regard to ER status or mutation type.

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The method can be applied to a plurality of patient subsets. For example, in a specific embodiment, the phenotype is good prognosis, and the individual is classified into one of the following patient subsets: ER<sup>-</sup>, BRCA1 status, ER<sup>-</sup>, sporadic status, ER+, ER/AGE high status, ER+, ER/AGE low, LN+ status, or ER+, ER/AGE low, LN+ status. A set of markers informative for prognosis for the patient subset into which the individual is classified is then used to determine the likely prognosis for the individual. A sample is classified as coming from an individual having a good prognosis if the expression profile of prognosis-correlated genes for the particular subset into which the individual is classified exceeds a chosen coefficient of correlation to the average "good prognosis" expression profile (e.g., the levels of expression of prognosis-correlated genes in a plurality of samples from patients within the subclass having a "good prognosis"). Patients whose expression levels correlate more poorly with the "good prognosis" expression profile (e.g., whose correlation coefficient fails to exceed the chosen coefficient) are classified as having a poor prognosis.

Of course, single-channel data may also be used without specific comparison to a mathematical sample pool. For example, a sample may be classified as having a first or a second phenotype, wherein the first and second phenotypes are related, by calculating the similarity between the expression profile of at least 5 markers in the sample, where the markers are correlated with the first or second phenotype, to a first phenotype template and a second phenotype template each comprising the expression levels of the same markers, by (a) labeling nucleic acids derived from a sample with a fluorophore to obtain a pool of fluorophore-labeled nucleic acids; (b) contacting said fluorophore-labeled nucleic acid with a microarray under conditions such that hybridization can occur, detecting at each of a plurality of discrete loci on the microarray a fluorescent emission signal from said fluorophore-labeled nucleic acid that is bound to said microarray under said conditions; and (c) determining the similarity of marker gene expression in the individual sample to the first and second templates, wherein if said expression is more similar to the first template, the sample is classified as having the first phenotype, and if said expression is more similar to the second template, the sample is classified as having the second phenotype.

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In a specific embodiment of the above method, the first phenotype is a good prognosis of breast cancer, the sample is a sample from an individual that has been classified into a patient subset, and the first and second templates are templates for the phenotype for the particular patient subset. In a more specific embodiment, for example, the first phenotype is a good prognosis, the second phenotype is a poor prognosis, the patient is classified into an ER<sup>-</sup>, sporadic patient subset, an ER<sup>-</sup>, BRCA1 subset, an ER+, ER/AGE high subset, an ER+, ER/AGE low, LN+ subset, or an ER+, ER/AGE low, LN+ subset, and said first and second templates are templates derived from the expression of the marker genes in individuals having a good prognosis and a poor prognosis, respectively, wherein said individuals are all of the patient subset into which said patient is classified.

# 5.2.4. METHODS FOR CLASSIFICATION OF EXPRESSION PROFILES

In preferred embodiments, the methods of the invention use a classifier for predicting prognosis in a patient. The classifier can be based on any appropriate pattern recognition method that receives an input comprising a marker profile and provides an output comprising data indicating which patient subset the patient belongs. The classifier can be trained with training data from a training population of breast cancer patients. Typically, the training data comprise for each of the patients in the training population a training marker profile comprising measurements of respective gene products of a plurality of genes in a suitable sample taken from the patient and prognosis information.

In preferred embodiments, the classifier can be based on a classification (pattern recognition) method described below, e.g., profile similarity (Section 5.2.4.1., *infra*); artificial neural network (Section 5.2.4.2., *infra*); support vector machine (SVM, Section 5.2.4.3., *infra*); logic regression (Section 5.2.4.4., *infra*), linear or quadratic discriminant analysis (Section 5.2.4.5., *infra*), decision trees (Section 5.2.4.6., *infra*), clustering (Section 5.2.4.7., *infra*), principal component analysis (Section 5.2.4.8., *infra*), nearest neighbor classifier analysis (Section 5.2.4.9., *infra*). Such classifiers can be trained with the training population using methods described in the relevant sections, *infra*.

The marker profile can be obtained by measuring the plurality of gene products in a cell sample from the patient using a method known in the art, e.g., a method described in Section 5.3., *infra*.

Various known statistical pattern recognition methods can be used in conjunction with the present invention. A classifier based on any of such methods can be constructed using the marker profiles and prognosis data of training patients. Such a classifier can then be used to evaluate the prognosis status of a patient based on the patient's marker profile. The methods can also be used to identify markers that discriminate between different prognosis status using a marker profile and prognosis data of training patients.

### 5.2.4.1. PROFILE MATCHING

A patient's prognosis can be evaluated by comparing a marker profile obtained in a suitable sample from the patient with a marker profile that is representative of a particular prognosis. Such a marker profile is also termed a "template profile" or a "template." The degree of similarity to such a template profile provides an evaluation of the patient's prognosis. If the degree of similarity of the patient marker profile and a template profile is above a predetermined threshold, the patient is assigned the prognosis represented by the template. For example, a patient's prognosis can be evaluated by comparing a marker profile of the patient to a predetermined template profile corresponding to a given prognosis, e.g., a good prognosis template comprising measurements of the plurality of markers which are representative of levels of the markers in a plurality of patients having a good prognosis.

In one embodiment, the similarity is represented by a correlation coefficient between the patient's profile and the template. In one embodiment, a correlation coefficient above a correlation threshold indicates a high similarity, whereas a correlation coefficient below the threshold indicates a low similarity.

In a specific embodiment,  $P_i$  measures the similarity between the patient's profile  $\vec{y}$  and a template profile comprising measurements of marker gene products representative of measurements of marker gene products in patients having a particular prognosis, e.g., the good prognosis template  $\vec{z}_1$  or the poor prognosis template  $\vec{z}_2$ . Such a coefficient,  $P_i$ , can be calculated using the following equation:

$$P_i = (\vec{z}_i \bullet \vec{y}) / (\|\vec{z}_i\| \cdot \|\vec{y}\|)$$

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where *i* designates the *i*th template. Thus, in one embodiment,  $\vec{y}$  is classified as a good prognosis profile if  $P_1$  is greater than a selected correlation threshold. In another

embodiment,  $\vec{y}$  is classified as poor prognosis profile if  $P_2$  is greater than a selected correlation threshold. In preferred embodiments, the correlation threshold is set as 0.3, 0.4, 0.5 or 0.6. In another embodiment,  $\vec{y}$  is classified as a good prognosis profile if  $P_1$  is greater than  $P_2$ , whereas  $\vec{y}$  is classified as a poor prognosis profile if  $P_1$  is less than  $P_2$ .

In another embodiment, the correlation coefficient is a weighted dot product of the patient's profile  $\vec{y}$  and a template profile, in which measurements of each different marker is assigned a weight.

In another embodiment, similarity between a patient's profile and a template is represented by a distance between the patient's profile and the template. In one embodiment, a distance below a given value indicates high similarity, whereas a distance equal to or greater than the given value indicates low similarity.

In one embodiment, the Euclidian distance according to the formula

$$D_i = \|\vec{y} - \vec{z}_i\|$$

is used, where  $D_i$  measures the distance between the patient's profile  $\vec{y}$  and a template profile comprising measurements of marker gene products representative of measurements of marker gene products in patients having a particular prognosis, e.g., the good prognosis template  $\vec{z}_1$  or the poor prognosis template  $\vec{z}_2$ . In other embodiments, the Euclidian distance is squared to place progressively greater weight on cellular constituents that are further apart. In alternative embodiments, the distance measure  $D_i$  is the Manhattan distance provide by

$$D_i = \sum_{n} |y(n) - z_i(n)|$$

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where y(n) and  $z_i(n)$  are respectively measurements of the *n*th marker gene product in the patient's profile  $\bar{y}$  and a template profile.

In another embodiment, the distance is defined as  $D_i = 1 - P_i$ , where  $P_i$  is the correlation coefficient or normalized dot product as described above.

In still other embodiments, the distance measure may be the Chebychev distance, the power distance, and percent disagreement, all of which are well known in the art.

#### 5.2.4.2. ARTIFICIAL NEURAL NETWORK

In some embodiments, a neural network is used. A neural network can be constructed for a selected set of molecular markers of the invention. A neural network is a two-stage regression or classification model. A neural network has a layered structure that includes a layer of input units (and the bias) connected by a layer of weights to a layer of output units. For regression, the layer of output units typically includes just one output unit. However, neural networks can handle multiple quantitative responses in a seamless fashion.

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In multilayer neural networks, there are input units (input layer), hidden units (hidden layer), and output units (output layer). There is, furthermore, a single bias unit that is connected to each unit other than the input units. Neural networks are described in Duda et al., 2001, Pattern Classification, Second Edition, John Wiley & Sons, Inc., New York; and Hastie et al., 2001, The Elements of Statistical Learning, Springer-Verlag, New York.

The basic approach to the use of neural networks is to start with an untrained network, present a training pattern, e.g., marker profiles from training patients, to the input layer, and to pass signals through the net and determine the output, e.g., the prognosis in the training patients, at the output layer. These outputs are then compared to the target values; any difference corresponds to an error. This error or criterion function is some scalar function of the weights and is minimized when the network outputs match the desired outputs. Thus, the weights are adjusted to reduce this measure of error. For regression, this error can be sum-of-squared errors. For classification, this error can be either squared error or cross-entropy (deviation). See, e.g., Hastie et al., 2001, The Elements of Statistical Learning, Springer-Verlag, New York.

Three commonly used training protocols are stochastic, batch, and on-line. In stochastic training, patterns are chosen randomly from the training set and the network weights are updated for each pattern presentation. Multilayer nonlinear networks trained by gradient descent methods such as stochastic back-propagation perform a maximum-likelihood estimation of the weight values in the model defined by the network topology. In batch training, all patterns are presented to the network before learning takes place.

Typically, in batch training, several passes are made through the training data. In online training, each pattern is presented once and only once to the net.

In some embodiments, consideration is given to starting values for weights. If the weights are near zero, then the operative part of the sigmoid commonly used in the hidden layer of a neural network (see, e.g., Hastie et al., 2001, The Elements of Statistical Learning, Springer-Verlag, New York) is roughly linear, and hence the neural network collapses into an approximately linear model. In some embodiments, starting values for weights are chosen to be random values near zero. Hence the model starts out nearly linear, and becomes nonlinear as the weights increase. Individual units localize to directions and introduce nonlinearities where needed. Use of exact zero weights leads to zero derivatives and perfect symmetry, and the algorithm never moves. Alternatively, starting with large weights often leads to poor solutions.

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Since the scaling of inputs determines the effective scaling of weights in the bottom layer, it can have a large effect on the quality of the final solution. Thus, in some embodiments, at the outset all expression values are standardized to have mean zero and a standard deviation of one. This ensures all inputs are treated equally in the regularization process, and allows one to choose a meaningful range for the random starting weights. With standardization inputs, it is typical to take random uniform weights over the range [-0.7, +0.7].

A recurrent problem in the use of networks having a hidden layer is the optimal number of hidden units to use in the network. The number of inputs and outputs of a network are determined by the problem to be solved. In the present invention, the number of inputs for a given neural network can be the number of molecular markers in the selected set of molecular markers of the invention. The number of output for the neural network will typically be just one. However, in some embodiment more than one output is used so that more than just two states can be defined by the network. If too many hidden units are used in a neural network, the network will have too many degrees of freedom and is trained too long, there is a danger that the network will overfit the data. If there are too few hidden units, the training set cannot be learned. Generally speaking, however, it is better to have too many hidden units than too few. With too few hidden units, the model might not have enough flexibility to capture the nonlinearities in the data; with too many hidden units, the extra weight can be shrunk towards zero if appropriate regularization or pruning, as described below, is used. In typical embodiments, the number of hidden units is somewhere in the

range of 5 to 100, with the number increasing with the number of inputs and number of training cases.

One general approach to determining the number of hidden units to use is to apply a regularization approach. In the regularization approach, a new criterion function is constructed that depends not only on the classical training error, but also on classifier complexity. Specifically, the new criterion function penalizes highly complex models; searching for the minimum in this criterion is to balance error on the training set with error on the training set plus a regularization term, which expresses constraints or desirable properties of solutions:

 $J = J_{pat} + \lambda J_{reg}$ 

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The parameter  $\lambda$  is adjusted to impose the regularization more or less strongly. In other words, larger values for  $\lambda$  will tend to shrink weights towards zero: typically cross-validation with a validation set is used to estimate  $\lambda$ . This validation set can be obtained by setting aside a random subset of the training population. Other forms of penalty can also be used, for example the weight elimination penalty (see, e.g., Hastie et al., 2001, The Elements of Statistical Learning, Springer-Verlag, New York).

Another approach to determine the number of hidden units to use is to eliminate - prune - weights that are least needed. In one approach, the weights with the smallest magnitude are eliminated (set to zero). Such magnitude-based pruning can work, but is nonoptimal; sometimes weights with small magnitudes are important for learning and training data. In some embodiments, rather than using a magnitude-based pruning approach, Wald statistics are computed. The fundamental idea in Wald Statistics is that they can be used to estimate the importance of a hidden unit (weight) in a model. Then, hidden units having the least importance are eliminated (by setting their input and output weights to zero). Two algorithms in this regard are the *Optimal Brain Damage* (OBD) and the *Optimal Brain Surgeon* (OBS) algorithms that use second-order approximation to predict how the training error depends upon a weight, and eliminate the weight that leads to the smallest increase in training error.

Optimal Brain Damage and Optimal Brain Surgeon share the same basic approach of training a network to local minimum error at weight w, and then pruning a weight that leads

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to the smallest increase in the training error. The predicted functional increase in the error for a change in full weight vector  $\delta \mathbf{w}$  is:

$$\delta J = \left(\frac{\partial J}{\partial w}\right)^{t} \cdot \delta w + \frac{1}{2} \delta w^{t} \cdot \frac{\partial^{2} J}{\partial w^{2}} \cdot \delta w + O(\|\delta w\|^{3})$$

where  $\frac{\partial^2 J}{\partial w^2}$  is the Hessian matrix. The first term vanishes because we are at a local

5 minimum in error; third and higher order terms are ignored. The general solution for minimizing this function given the constraint of deleting one weight is:

$$\delta w = -\frac{w_q}{\left[\mathbf{H}^{-1}\right]_{qq}} \mathbf{H}^{-1} \cdot u_q \text{ and } L_q = \frac{1}{2} - \frac{w_q^2}{\left[\mathbf{H}^{-1}\right]_{qq}}$$

Here,  $u_q$  is the unit vector along the qth direction in weight space and  $L_q$  is approximation to the saliency of the weight q - the increase in training error if weight q is pruned and the other weights updated  $\delta w$ . These equations require the inverse of H. One method to calculate this inverse matrix is to start with a small value,  $H_0^{-1} = \alpha^{-1}I$ , where  $\alpha$  is a small parameter - effectively a weight constant. Next the matrix is updated with each pattern according to

$$\mathbf{H}_{m+1}^{-1} = \mathbf{H}_{m}^{-1} - \frac{\mathbf{H}_{m}^{-1} \mathbf{X}_{m+1} \mathbf{X}_{m+1}^{T} \mathbf{H}_{m}^{-1}}{\frac{n}{a} + \mathbf{X}_{m+1}^{T} \mathbf{H}_{m}^{-1} \mathbf{X}_{m+1}}$$

where the subscripts correspond to the pattern being presented and  $a_m$  decreases with m.

After the full training set has been presented, the inverse Hessian matrix is given by  $H^{-1} = H_n^{-1}$ . In algorithmic form, the Optimal Brain Surgeon method is:

begin initialize  $n_H$ , w,  $\theta$ 

train a reasonably large network to minimum error

do compute H<sup>-1</sup> by Eqn. 1

$$q^* \leftarrow \arg \min_{q} w_q^2 / (2[H^{-1}]_{qq})$$
 (saliency  $L_q$ )

$$\mathbf{w} \leftarrow \mathbf{w} - \frac{w_q}{\left[H^{-1}\right]_{\mathbf{r},\mathbf{r}}} H^{-1} e_q$$
. (saliency  $\mathbf{L}_q$ )

until  $J(\mathbf{w}) > \theta$ 

return w

end

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The Optimal Brain Damage method is computationally simpler because the calculation of the inverse Hessian matrix in line 3 is particularly simple for a diagonal matrix. The above algorithm terminates when the error is greater than a criterion initialized to be θ. Another approach is to change line 6 to terminate when the change in J(w) due to elimination of a weight is greater than some criterion value.

In some embodiments, a back-propagation neural network (see, for example Abdi, 1994, "A neural network primer", J. Biol System. 2, 247-283) containing a single hidden layer of ten neurons (ten hidden units) found in EasyNN-Plus version 4.0g software package (Neural Planner Software Inc.) is used. In a specific example, parameter values within the EasyNN-Plus program are set as follows: a learning rate of 0.05, and a momentum of 0.2. In some embodiments in which the EasyNN-Plus version 4.0g software package is used, "outlier" samples are identified by performing twenty independently-seeded trials involving 20,000 learning cycles each.

#### 5.2.4.3. SUPPORT VECTOR MACHINE

In some embodiments of the present invention, support vector machines (SVMs) are used to classify subjects using expression profiles of marker genes described in the present invention. General description of SVM can be found in, for example, Cristianini and Shawe-Taylor, 2000, An Introduction to Support Vector Machines, Cambridge University Press, Cambridge, Boser et al., 1992, "A training algorithm for optimal margin classifiers, in Proceedings of the 5<sup>th</sup> Annual ACM Workshop on Computational Learning Theory, ACM Press, Pittsburgh, PA, pp. 142-152; Vapnik, 1998, Statistical Learning Theory, Wiley, New York; Duda, Pattern Classification, Second Edition, 2001, John Wiley & Sons, Inc.; Hastie, 2001, The Elements of Statistical Learning, Springer, New York; and Furey et al., 2000, Bioinformatics 16, 906-914. Applications of SVM in biological applications are described in Jaakkola et al., Proceedings of the 7<sup>th</sup> International Conference on Intelligent Systems for

Molecular Biology, AAAI Press, Menlo Park, CA (1999); Brown et al., Proc. Natl. Acad. Sci. 97(1):262-67 (2000); Zien et al., Bioinformatics, 16(9):799-807 (2000); Furey et al., Bioinformatics, 16(10):906-914 (2000)

In one approach, when a SVM is used, the gene expression data is standardized to have mean zero and unit variance and the members of a training population are randomly divided into a training set and a test set. For example, in one embodiment, two thirds of the members of the training population are placed in the training set and one third of the members of the training population are placed in the test set. The expression values for a selected set of genes of the present invention is used to train the SVM. Then the ability for the trained SVM to correctly classify members in the test set is determined. In some embodiments, this computation is performed several times for a given selected set of molecular markers. In each iteration of the computation, the members of the training population are randomly assigned to the training set and the test set. Then, the quality of the combination of molecular markers is taken as the average of each such iteration of the SVM computation.

Support vector machines map a given set of binary labeled training data to a high-dimensional feature space and separate the two classes of data with a maximum margin hyperplane. In general, this hyperplane corresponds to a nonlinear decision boundary in the input space. Let  $X \in R_0 \subseteq \mathbb{R}^n$  be the input vectors,  $y \in \{-1,+1\}$  be the labels, and  $\phi: R_0 \to F$  be the mapping from input space to feature space. Then the SVM learning algorithm finds a hyperplane (w,b) such that the quantity

$$\gamma = \min_{i} y_{i} \{ \langle w, \phi(\mathbf{X}_{i}) \rangle - b \}$$

is maximized, where the vector w has the same dimensionality as F, b is a real number, and  $\gamma$  is called the *margin*. The corresponding decision function is then

$$f(\mathbf{X}) = sign(\langle w, \phi(\mathbf{X}) \rangle - b)$$

This minimum occurs when

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$$w = \sum_i \alpha_i y_i \phi(X_i)$$

where  $\{\alpha_i\}$  are positive real numbers that maximize

$$\sum_{i} \alpha_{i} - \sum_{ij} \alpha_{i} \alpha_{j} y_{i} y_{j} \langle \phi(X_{i}), \phi(X_{j}) \rangle$$

subject to

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$$\sum_{i} \alpha_{i} y_{i} = 0, \alpha_{i} > 0$$

The decision function can equivalently be expressed as

$$f(\mathbf{X}) = sign(\sum_{i} \alpha_{i} y_{i} \langle \phi(X_{i}, \phi(\mathbf{X})) - b)$$

From this equation it can be seen that the  $\alpha_i$  associated with the training point  $X_i$ expresses the strength with which that point is embedded in the final decision function. A remarkable property of this alternative representation is that only a subset of the points will be associated with a non-zero  $\alpha_i$ . These points are called support vectors and are the points 10 that lie closest to the separating hyperplane. The sparseness of the  $\alpha$  vector has several computational and learning theoretic consequences. It is important to note that neither the learning algorithm nor the decision function needs to represent explicitly the image of points in the feature space,  $\phi(X_i)$ , since both use only the dot products between such images,  $\langle \phi(X_i), \phi(X_j) \rangle$ . Hence, if one were given a function  $K(\mathbf{X}, \mathbf{Y}) = \langle \phi(\mathbf{X}), \phi(\mathbf{X}) \rangle$ , one could 15 learn and use the maximum margin hyperplane in the feature space without ever explicitly performing the mapping. For each continuous positive definite function K(X,Y) there exists a mapping  $\phi$  such that  $K(X,Y) = \langle \phi(X), \phi(X) \rangle$  for all  $X, Y \in R_0$  (Mercer's Theorem). The function K(X,Y) is called the kernel function. The use of a kernel function allows the support vector machine to operate efficiently in a nonlinear high-dimensional feature spaces 20 without being adversely affected by the dimensionality of that space. Indeed, it is possible to work with feature spaces of infinite dimension. Moreover, Mercer's theorem makes it possible to learn in the feature space without even knowing  $\phi$  and F. The matrix  $K_{ij} = \langle \phi(\mathbf{X}_i), \phi(\mathbf{X}_j) \rangle$  is called the *kernel matrix*. Finally, note that the learning algorithm is a quadratic optimization problem that has only a global optimum. The absence of local minima 25 is a significant difference from standard pattern recognition techniques such as neural

networks. For moderate sample sizes, the optimization problem can be solved with simple gradient descent techniques. In the presence of noise, the standard maximum margin algorithm described above can be subject to overfitting, and more sophisticated techniques should be used. This problem arises because the maximum margin algorithm always finds a perfectly consistent hypothesis and does not tolerate training error. Sometimes, however, it is necessary to trade some training accuracy for better predictive power. The need for tolerating training error has led to the development the soft-margin and the margin-distribution classifiers. One of these techniques replaces the kernel matrix in the training phase as follows:

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$$K \leftarrow K + \lambda I$$

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while still using the standard kernel function in the decision phase. By tuning  $\lambda$ , one can control the training error, and it is possible to prove that the risk of misclassifying unseen points can be decreased with a suitable choice of  $\lambda$ .

If instead of controlling the overall training error one wants to control the trade-off between false positives and false negatives, it is possible to modify K as follows:

$$K \leftarrow K + \lambda D$$

where D is a diagonal matrix whose entries are either  $d^+$  or  $d^-$ , in locations corresponding to positive and negative examples. It is possible to prove that this technique is equivalent to controlling the size of the  $\alpha_i$  in a way that depends on the size of the class, introducing a bias for larger  $\alpha_i$  in the class with smaller d. This in turn corresponds to an asymmetric margin; i.e., the class with smaller d will be kept further away from the decision boundary. In some cases, the extreme imbalance of the two classes, along with the presence of noise, creates a situation in which points from the minority class can be easily mistaken for mislabelled points. Enforcing a strong bias against training errors in the minority class provides protection agaist such errors and forces the SVM to make the positive examples support vectors. Thus, choosing  $d^+ = \frac{1}{n^+}$  and  $d^- = \frac{1}{n^-}$  provides a heuristic way to automatically adjust the relative importance of the two classes, based on their respective cardinalities. This technique effectively controls the trade-off between sensitivity and specificity.

In the present invention, a linear kernel can be used. The similarity between two marker profiles X and Y can be the dot product X·Y. In one embodiment, the kernel is

$$K(X, Y) = X \cdot Y + 1$$

In another embodiment, a kernel of degree d is used

$$K(X, Y) = (X \cdot Y + 1)^d$$
, where d can be either 2, 3, ...

In still another embodiment, a Gaussian kernel is used

$$K(\mathbf{X}, \mathbf{Y}) = \exp(\frac{-|X - Y|^2}{2\sigma^2})$$

where  $\sigma$  is the width of the Gaussian.

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### 5.2.4.4. LOGISTIC REGRESSION

In some embodiments, the classifier is based on a regression model, preferably a logistic regression model. Such a regression model includes a coefficient for each of the molecular markers in a selected set of molecular markers of the invention. In such embodiments, the coefficients for the regression model are computed using, for example, a maximum likelihood approach. In particular embodiments, molecular marker data from two different clinical groups, e.g., good or poor prognosis, is used and the dependent variable is the clinical status of the patient for which molecular marker characteristic data are from.

Some embodiments of the present invention provide generalizations of the logistic regression model that handle multicategory (polychotomous) responses. Such embodiments can be used to discriminate an organism into one or three or more clinical groups, e.g., good, intermediate, and poor prognosis. Such regression models use multicategory logit models that simultaneously refer to all pairs of categories, and describe the odds of response in one category instead of another. Once the model specifies logits for a certain (J-1) pairs of categories, the rest are redundant. See, for example, Agresti, *An Introduction to Categorical Data Analysis*, John Wiley & Sons, Inc., 1996, New York, Chapter 8, which is hereby incorporated by reference.

#### 5.2.4.5. DISCRIMINANT ANALYSIS

Linear discriminant analysis (LDA) attempts to classify a subject into one of two categories based on certain object properties. In other words, LDA tests whether object attributes measured in an experiment predict categorization of the objects. LDA typically requires continuous independent variables and a dichotomous categorical dependent variable. In the present invention, the expression values for the selected set of molecular markers of the

invention across a subset of the training population serve as the requisite continuous independent variables. The clinical group classification of each of the members of the training population serves as the dichotomous categorical dependent variable.

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LDA seeks the linear combination of variables that maximizes the ratio of betweengroup variance and within-group variance by using the grouping information. Implicitly, the linear weights used by LDA depend on how the expression of a molecular marker across the training set separates in the two groups (e.g., a group that has good prognosis and a group that have poor prognosis) and how this gene expression correlates with the expression of other genes. In some embodiments, LDA is applied to the data matrix of the N members in the training sample by K genes in a combination of genes described in the present invention. Then, the linear discriminant of each member of the training population is plotted. Ideally, those members of the training population representing a first subgroup (e.g. those subjects that good prognosis) will cluster into one range of linear discriminant values (e.g., negative) and those member of the training population representing a second subgroup (e.g. those subjects that have poor prognosis) will cluster into a second range of linear discriminant values (e.g., positive). The LDA is considered more successful when the separation between the clusters of discriminant values is larger. For more information on linear discriminant analysis, see Duda, Pattern Classification, Second Edition, 2001, John Wiley & Sons, Inc; and Hastie, 2001, The Elements of Statistical Learning, Springer, New York; Venables & Ripley, 1997, Modern Applied Statistics with s-plus, Springer, New York.

Quadratic discriminant analysis (QDA) takes the same input parameters and returns the same results as LDA. QDA uses quadratic equations, rather than linear equations, to produce results. LDA and QDA are interchangeable, and which to use is a matter of preference and/or availability of software to support the analysis. Logistic regression takes the same input parameters and returns the same results as LDA and QDA.

### 5.2.4.6. <u>DECISION TREES</u>

In some embodiments of the present invention, decision trees are used to classify patients using expression data for a selected set of molecular markers of the invention. Decision tree algorithms belong to the class of supervised learning algorithms. The aim of a decision tree is to induce a classifier (a tree) from real-world example data. This tree can be used to classify unseen examples which have not been used to derive the decision tree.

A decision tree is derived from training data. An example contains values for the different attributes and what class the example belongs. In one embodiment, the training data is expression data for a combination of genes described in the present invention across the training population.

The following algorithm describes a decision tree derivation:

Tree(Examples, Class, Attributes)

Create a root node

If all Examples have the same Class value, give the root this label

Else if Attributes is empty label the root according to the most common value

10 Else begin

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the

Calculate the information gain for each attribute

Select the attribute A with highest information gain and make this the root attribute

For each possible value, v, of this attribute

Add a new branch below the root, corresponding to A = v

Let Examples(v) be those examples with A = v

If Examples(v) is empty, make the new branch a leaf node labeled with most common value among Examples

Else let the new branch be the tree created by

Tree(Examples(v), Class, Attributes - {A})

end

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A more detailed description of the calculation of information gain is shown in the following. If the possible classes  $v_i$  of the examples have probabilities  $P(v_i)$  then the information content I of the actual answer is given by:

$$I(P(v_1),...,P(v_n)) = \sum_{i=1}^n -P(v_i)\log_2 P(v_i)$$

The I- value shows how much information we need in order to be able to describe the outcome of a classification for the specific dataset used. Supposing that the dataset contains p positive (e.g. has poor prognosis) and n negative (e.g. has good prognosis) examples (e.g. individuals), the information contained in a correct answer is:

$$I(\frac{p}{p+n}, \frac{n}{p+n}) = -\frac{p}{p+n} \log_2 \frac{p}{p+n} - \frac{n}{p+n} \log_2 \frac{n}{p+n}$$

where log<sub>2</sub> is the logarithm using base two. By testing single attributes the amount of information needed to make a correct classification can be reduced. The remainder for a specific attribute A (e.g. a gene) shows how much the information that is needed can be reduced.

Remainder (A) = 
$$\sum_{i=1}^{v} \frac{p_i + n_i}{p_i + n_i} I(\frac{p_i}{p_i + n_i}, \frac{n_i}{p_i + n_i})$$

"v" is the number of unique attribute values for attribute A in a certain dataset, "i" is a certain attribute value, "p<sub>i</sub>" is the number of examples for attribute A where the classification is positive (e.g. cancer), "n<sub>i</sub>" is the number of examples for attribute A where the classification is negative (e.g. healthy).

The information gain of a specific attribute A is calculated as the difference between the information content for the classes and the remainder of attribute A:

$$Gain(A) = I(\frac{p}{p+n}, \frac{n}{p+n}) - \text{Re mainder}(A)$$

The information gain is used to evaluate how important the different attributes are for the classification (how well they split up the examples), and the attribute with the highest information.

In general there are a number of different decision tree algorithms, many of which are described in Duda, *Pattern Classification*, Second Edition, 2001, John Wiley & Sons, Inc. Decision tree algorithms often require consideration of feature processing, impurity measure, stopping criterion, and pruning. Specific decision tree algorithms include, cut are not limited to classification and regression trees (CART), multivariate decision trees, ID3, and C4.5.

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In one approach, when an exemplary embodiment of a decision tree is used, the gene expression data for a selected set of molecular markers of the invention across a training population is standardized to have mean zero and unit variance. The members of the training population are randomly divided into a training set and a test set. For example, in one embodiment, two thirds of the members of the training population are placed in the training set and one third of the members of the training population are placed in the test set. The expression values for a select combination of genes described in the present invention is used to construct the decision tree. Then, the ability for the decision tree to correctly classify members in the test set is determined. In some embodiments, this computation is performed several times for a given combination of molecular markers. In each iteration of the computation, the members of the training population are randomly assigned to the training set and the test set. Then, the quality of the combination of molecular markers is taken as the average of each such iteration of the decision tree computation.

#### **5.2.4.7. <u>CLUSTERING</u>**

In some embodiments, the expression values for a selected set of molecular markers of the invention are used to cluster a training set. For example, consider the case in which ten genes described in the present invention are used. Each member **m** of the training population will have expression values for each of the ten genes. Such values from a member **m** in the training population define the vector:

X <sub>1m</sub>	X <sub>2m</sub>	X <sub>3m</sub>	X <sub>4m</sub>	X <sub>5m</sub>	X <sub>6m</sub>	X <sub>7m</sub>	X <sub>8m</sub>	X <sub>9m</sub>	X <sub>10m</sub>

where  $X_{im}$  is the expression level of the  $i^{th}$  gene in organism m. If there are m organisms in the training set, selection of i genes will define m vectors. Note that the methods of the present invention do not require that each the expression value of every single gene used in the vectors be represented in every single vector m. In other words, data from a subject in which one of the  $i^{th}$  genes is not found can still be used for clustering. In such instances, the missing expression value is assigned either a "zero" or some other normalized value. In some embodiments, prior to clustering, the gene expression values are normalized to have a mean value of zero and unit variance.

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Those members of the training population that exhibit similar expression patterns across the training group will tend to cluster together. A particular combination of genes of the present invention is considered to be a good classifier in this aspect of the invention when the vectors cluster into the trait groups found in the training population. For instance, if the training population includes patients with good or poor prognosis, a clustering classifier will cluster the population into two groups, with each group uniquely representing either a good prognosis or a poor prognosis.

Clustering is described on pages 211-256 of Duda and Hart, *Pattern Classification and Scene Analysis*, 1973, John Wiley & Sons, Inc., New York. As described in Section 6.7 of Duda, the clustering problem is described as one of finding natural groupings in a dataset. To identify natural groupings, two issues are addressed. First, a way to measure similarity (or dissimilarity) between two samples is determined. This metric (similarity measure) is used to ensure that the samples in one cluster are more like one another than they are to samples in other clusters. Second, a mechanism for partitioning the data into clusters using the similarity measure is determined.

Similarity measures are discussed in Section 6.7 of Duda, where it is stated that one way to begin a clustering investigation is to define a distance function and to compute the matrix of distances between all pairs of samples in a dataset. If distance is a good measure of similarity, then the distance between samples in the same cluster will be significantly less than the distance between samples in different clusters. However, as stated on page 215 of Duda, clustering does not require the use of a distance metric. For example, a nonmetric similarity function s(x, x') can be used to compare two vectors x and x'. Conventionally, s(x,

x') is a symmetric function whose value is large when x and x' are somehow "similar". An example of a nonmetric similarity function s(x, x') is provided on page 216 of Duda.

Once a method for measuring "similarity" or "dissimilarity" between points in a dataset has been selected, clustering requires a criterion function that measures the clustering quality of any partition of the data. Partitions of the data set that extremize the criterion function are used to cluster the data. See page 217 of Duda. Criterion functions are discussed in Section 6.8 of Duda.

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More recently, Duda et al., Pattern Classification, 2<sup>nd</sup> edition, John Wiley & Sons, Inc. New York, has been published. Pages 537-563 describe clustering in detail. More information on clustering techniques can be found in Kaufman and Rousseeuw, 1990, Finding Groups in Data: An Introduction to Cluster Analysis, Wiley, New York, NY; Everitt, 1993, Cluster analysis (3d ed.), Wiley, New York, NY; and Backer, 1995, Computer-Assisted Reasoning in Cluster Analysis, Prentice Hall, Upper Saddle River, New Jersey. Particular exemplary clustering techniques that can be used in the present invention include, but are not limited to, hierarchical clustering (agglomerative clustering using nearest-neighbor algorithm, farthest-neighbor algorithm, the average linkage algorithm, the centroid algorithm, or the sum-of-squares algorithm), k-means clustering, fuzzy k-means clustering algorithm, and Jarvis-Patrick clustering.

#### 5.2.4.8. PRINCIPAL COMPONENT ANALYSIS

Principal component analysis (PCA) has been proposed to analyze gene expression data. Principal component analysis is a classical technique to reduce the dimensionality of a data set by transforming the data to a new set of variable (principal components) that summarize the features of the data. See, for example, Jolliffe, 1986, *Principal Component*Analysis, Springer, New York. Principal components (PCs) are uncorrelate and are ordered such that the k<sup>th</sup> PC has the kth largest variance among PCs. The k<sup>th</sup> PC can be interpreted as the direction that maximizes the variation of the projections of the data points such that it is orthogonal to the first k - 1 PCs. The first few PCs capture most of the variation in the data set. In contrast, the last few PCs are often assumed to capture only the residual 'noise' in the data.

PCA can also be used to create a classifier in accordance with the present invention.

In such an approach, vectors for a selected set of molecular markers of the invention can be

constructed in the same manner described for clustering above. In fact, the set of vectors, where each vector represents the expression values for the select genes from a particular member of the training population, can be considered a matrix. In some embodiments, this matrix is represented in a Free-Wilson method of qualitative binary description of monomers (Kubinyi, 1990, 3D QSAR in drug design theory methods and applications, Pergamon Press, Oxford, pp 589-638), and distributed in a maximally compressed space using PCA so that the first principal component (PC) captures the largest amount of variance information possible, the second principal component (PC) captures the second largest amount of all variance information, and so forth until all variance information in the matrix has been accounted for.

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Then, each of the vectors (where each vector represents a member of the training population) is plotted. Many different types of plots are possible. In some embodiments, a one-dimensional plot is made. In this one-dimensional plot, the value for the first principal component from each of the members of the training population is plotted. In this form of plot, the expectation is that members of a first group (e.g. good prognosis patients) will cluster in one range of first principal component values and members of a second group (e.g., poor prognosis patients) will cluster in a second range of first principal component values.

In one example, the training population comprises two groups: a good prognosis group and a poor prognosis group. The first principal component is computed using the molecular marker expression values for the select genes of the present invention across the entire training population data set. Then, each member of the training set is plotted as a function of the value for the first principal component. In this example, those members of the training population in which the first principal component is positive are the good prognosis patients and those members of the training population in which the first principal component is negative are poor prognosis patients.

In some embodiments, the members of the training population are plotted against more than one principal component. For example, in some embodiments, the members of the training population are plotted on a two-dimensional plot in which the first dimension is the first principal component and the second dimension is the second principal component. In such a two-dimensional plot, the expectation is that members of each subgroup represented in the training population will cluster into discrete groups. For example, a first cluster of members in the two-dimensional plot will represent subjects with good prognosis, a second

cluster of members in the two-dimensional plot will represent subjects with poor prognosis, and so forth.

In some embodiments, the members of the training population are plotted against more than two principal components and a determination is made as to whether the members of the training population are clustering into groups that each uniquely represents a subgroup found in the training population. In some embodiments, principal component analysis is performed by using the *R mva* package (Anderson, 1973, *Cluster Analysis for applications*, Academic Press, New York 1973; Gordon, *Classification*, Second Edition, Chapman and Hall, CRC, 1999.). Principal component analysis is further described in Duda, *Pattern Classification*, Second Edition, 2001, John Wiley & Sons, Inc.

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# 5.2.4.9. NEAREST NEIGHBOR CLASSIFIER ANALYSIS

Nearest neighbor classifiers are memory-based and require no model to be fit. Given a query point  $x_0$ , the k training points  $x_{(r)}$ , r, ..., k closest in distance to  $x_0$  are identified and then the point  $x_0$  is classified using the k nearest neighbors. Ties can be broken at random. In some embodiments, Euclidean distance in feature space is used to determine distance as:

$$d_{(i)} = ||x_{(i)} - x_{o}||.$$

Typically, when the nearest neighbor algorithm is used, the expression data used to compute the linear discriminant is standardized to have mean zero and variance 1. In the present invention, the members of the training population are randomly divided into a training set and a test set. For example, in one embodiment, two thirds of the members of the training population are placed in the training set and one third of the members of the training population are placed in the test set. Profiles of a selected set of molecular markers of the invention represents the feature space into which members of the test set are plotted. Next, the ability of the training set to correctly characterize the members of the test set is computed. In some embodiments, nearest neighbor computation is performed several times for a given combination of genes of the present invention. In each iteration of the computation, the members of the training population are randomly assigned to the training set and the test set. Then, the quality of the combination of genes is taken as the average of each such iteration of the nearest neighbor computation.

The nearest neighbor rule can be refined to deal with issues of unequal class priors, differential misclassification costs, and feature selection. Many of these refinements involve some form of weighted voting for the neighbors. For more information on nearest neighbor analysis, see Duda, *Pattern Classification*, Second Edition, 2001, John Wiley & Sons, Inc; and Hastie, 2001, *The Elements of Statistical Learning*, Springer, New York.

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### 5.2.4.10. EVOLUTIONARY METHODS

Inspired by the process of biological evolution, evolutionary methods of classifier design employ a stochastic search for an optimal classifier. In broad overview, such methods create several classifiers - a population - from measurements of gene products of the present invention. Each classifier varies somewhat from the other. Next, the classifiers are scored on expression data across the training population. In keeping with the analogy with biological evolution, the resulting (scalar) score is sometimes called the fitness. The classifiers are ranked according to their score and the best classifiers are retained (some portion of the total population of classifiers). Again, in keeping with biological terminology, this is called survival of the fittest. The classifiers are stochastically altered in the next generation - the children or offspring. Some offspring classifiers will have higher scores than their parent in the previous generation, some will have lower scores. The overall process is then repeated for the subsequent generation: The classifiers are scored and the best ones are retained, randomly altered to give yet another generation, and so on. In part, because of the ranking, each generation has, on average, a slightly higher score than the previous one. The process is halted when the single best classifier in a generation has a score that exceeds a desired criterion value. More information on evolutionary methods is found in, for example, Duda, Pattern Classification, Second Edition, 2001, John Wiley & Sons, Inc.

### 5.2.4.11. BAGGING, BOOSTING AND THE RANDOM SUBSPACE METHOD

Bagging, boosting and the random subspace method are combining techniques that can be used to improve weak classifiers. These techniques are designed for, and usually applied to, decision trees. In addition, Skurichina and Duin provide evidence to suggest that such techniques can also be useful in linear discriminant analysis.

In bagging, one samples the training set, generating random independent bootstrap replicates, constructs the classifier on each of these, and aggregates them by a simple majority vote in the final decision rule. See, for example, Breiman, 1996, Machine Learning

24, 123-140; and Efron & Tibshirani, *An Introduction to Bootstrap*, Chapman & Hall, New York, 1993.

In boosting, classifiers are constructed on weighted versions of the training set, which are dependent on previous classification results. Initially, all objects have equal weights, and the first classifier is constructed on this data set. Then, weights are changed according to the performance of the classifier. Erroneously classified objects (molecular markers in the data set) get larger weights, and the next classifier is boosted on the reweighted training set. In this way, a sequence of training sets and classifiers is obtained, which is then combined by simple majority voting or by weighted majority voting in the final decision. See, for example, Freund & Schapire, "Experiments with a new boosting algorithm," Proceedings 13<sup>th</sup> International Conference on Machine Learning, 1996, 148-156.

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To illustrate boosting, consider the case where there are two phenotypic groups exhibited by the population under study, phenotype 1 (e.g., good prognosis patients), and phenotype 2 (e.g., poor prognosis patients). Given a vector of molecular markers X, a classifier G(X) produces a prediction taking one of the type values in the two value set: { phenotype 1, phenotype 2}. The error rate on the training sample is

$$\overline{\text{err}} = \frac{1}{N} \sum_{i=1}^{N} I(y_i \neq G(x_i))$$

where N is the number of subjects in the training set (the sum total of the subjects that have either phenotype 1 or phenotype 2).

A weak classifier is one whose error rate is only slightly better than random guessing. In the boosting algorithm, the weak classification algorithm is repeatedly applied to modified versions of the data, thereby producing a sequence of weak classifiers  $G_m(x)$ , m, = 1, 2, ..., M. The predictions from all of the classifiers in this sequence are then combined through a weighted majority vote to produce the final prediction:

$$G(x) = sign\left(\sum_{m=1}^{M} \alpha_m G_m(x)\right)$$

WO 2006/084272

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Here  $\alpha_1, \alpha_2, ..., \alpha_M$  are computed by the boosting algorithm and their purpose is to weigh the contribution of each respective  $G_m(x)$ . Their effect is to give higher influence to the more accurate classifiers in the sequence.

The data modifications at each boosting step consist of applying weights  $w_I$ ,  $w_2$ , ...,  $w_n$  to each of the training observations  $(x_i, y_i)$ , i = 1, 2, ..., N. Initially all the weights are set to  $w_i = 1/N$ , so that the first step simply trains the classifier on the data in the usual manner. For each successive iteration m = 2, 3, ..., M the observation weights are individually modified and the classification algorithm is reapplied to the weighted observations. At stem m, those observations that were misclassified by the classifier  $G_{m-1}(x)$  induced at the previous step have their weights increased, whereas the weights are decreased for those that were classified correctly. Thus as iterations proceed, observations that are difficult to correctly classify receive ever-increasing influence. Each successive classifier is thereby forced to concentrate on those training observations that are missed by previous ones in the sequence.

The exemplary boosting algorithm is summarized as follows:

- 1. Initialize the observation weights  $w_i = 1/N$ , i = 1, 2, ..., N.
- 2. For m = 1 to M:
  - (a) Fit a classifier  $G_m(x)$  to the training set using weights  $w_i$ .
  - (b) Compute

$$err_{m} = \frac{\sum_{i=1}^{N} w_{i} I(y_{i} \neq G_{m}(x_{i}))}{\sum_{i=1}^{N} w_{i}}$$

- (c) Compute  $\alpha_m = \log((1 \text{err}_m)/\text{err}_m)$ .
- (d) Set  $w_i \leftarrow w_i \cdot \exp[\alpha_m \cdot I(y_i \neq G_m(x_i))], i = 1, 2, ..., N$ .

3. Output 
$$G(x) = \text{sign} \left[ \sum_{m=1}^{M} \alpha_m G_m(x) \right]$$

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In the algorithm, the current classifier  $G_m(x)$  is induced on the weighted observations at line 2a. The resulting weighted error rate is computed at line 2b. Line 2c calculates the weight  $\alpha_m$  given to  $G_m(x)$  in producing the final classifier G(x) (line 3). The individual weights of each of the observations are updated for the next iteration at line 2d. Observations misclassified by  $G_m(x)$  have their weights scaled by a factor  $\exp(\alpha_m)$ , increasing their relative influence for inducing the next classifier  $G_{m+1}(x)$  in the sequence. In some embodiments, modifications of the Freund and Schapire, 1997, Journal of Computer and System Sciences 55, pp. 119-139, boosting method are used. See, for example, Hasti et al., The Elements of Statistical Learning, 2001, Springer, New York, Chapter 10. In some embodiments, boosting or adaptive boosting methods are used.

In some embodiments, modifications of Freund and Schapire, 1997, Journal of Computer and System Sciences 55, pp. 119-139, are used. For example, in some embodiments, feature preselection is performed using a technique such as the nonparametric scoring methods of Park *et al.*, 2002, Pac. Symp. Biocomput. 6, 52-63. Feature preselection is a form of dimensionality reduction in which the genes that discriminate between classifications the best are selected for use in the classifier. Then, the LogitBoost procedure introduced by Friedman *et al.*, 2000, Ann Stat 28, 337-407 is used rather than the boosting procedure of Freund and Schapire. In some embodiments, the boosting and other classification methods of Ben-Dor *et al.*, 2000, Journal of Computational Biology 7, 559-583 are used in the present invention. In some embodiments, the boosting and other classification methods of Freund and Schapire, 1997, Journal of Computer and System Sciences 55, 119-139, are used.

In the random subspace method, classifiers are constructed in random subspaces of the data feature space. These classifiers are usually combined by simple majority voting in the final decision rule. See, for example, Ho, "The Random subspace method for constructing decision forests," IEEE Trans Pattern Analysis and Machine Intelligence, 1998; 20(8): 832–844.

### 5.2.4.12. OTHER ALGORITHMS

The pattern classification and statistical techniques described above are merely examples of the types of models that can be used to construct a model for classification. Moreover, combinations of the techniques described above can be used. Some combinations, such as the use of the combination of decision trees and boosting, have been described. However, many other combinations are possible. In addition, in other techniques in the art such as Projection Pursuit and Weighted Voting can be used to construct a classifier.

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## 5.3. <u>DETERMINATION OF MARKER GENE EXPRESSION LEVELS</u>

### 5.3.1. **METHODS**

The expression levels of the marker genes in a sample may be determined by any means known in the art. The expression level may be determined by isolating and determining the level (*i.e.*, amount) of nucleic acid transcribed from each marker gene.

Alternatively, or additionally, the level of specific proteins encoded by a marker gene may be determined.

The level of expression of specific marker genes can be accomplished by determining the amount of mRNA, or polynucleotides derived therefrom, present in a sample. Any method for determining RNA levels can be used. For example, RNA is isolated from a sample and separated on an agarose gel. The separated RNA is then transferred to a solid support, such as a filter. Nucleic acid probes representing one or more markers are then hybridized to the filter by northern hybridization, and the amount of marker-derived RNA is determined. Such determination can be visual, or machine-aided, for example, by use of a densitometer. Another method of determining RNA levels is by use of a dot-blot or a slot-blot. In this method, RNA, or nucleic acid derived therefrom, from a sample is labeled. The RNA or nucleic acid derived therefrom is then hybridized to a filter containing oligonucleotides derived from one or more marker genes, wherein the oligonucleotides are placed upon the filter at discrete, easily-identifiable locations. Hybridization, or lack thereof, of the labeled RNA to the filter-bound oligonucleotides is determined visually or by densitometer. Polynucleotides can be labeled using a radiolabel or a fluorescent (i.e., visible) label.

These examples are not intended to be limiting; other methods of determining RNA abundance are known in the art.

The level of expression of particular marker genes may also be assessed by determining the level of the specific protein expressed from the marker genes. This can be accomplished, for example, by separation of proteins from a sample on a polyacrylamide gel, followed by identification of specific marker-derived proteins using antibodies in a western blot. Alternatively, proteins can be separated by two-dimensional gel electrophoresis systems. Two-dimensional gel electrophoresis is well-known in the art and typically involves isoelectric focusing along a first dimension followed by SDS-PAGE electrophoresis along a second dimension. See, e.g., Hames et al, 1990, GEL ELECTROPHORESIS OF PROTEINS: A PRACTICAL APPROACH, IRL Press, New York; Shevchenko et al., Proc. Nat'l Acad. Sci. USA 93:1440-1445 (1996); Sagliocco et al., Yeast 12:1519-1533 (1996); Lander, Science 274:536-539 (1996). The resulting electropherograms can be analyzed by numerous techniques, including mass spectrometric techniques, western blotting and immunoblot analysis using polyclonal and monoclonal antibodies.

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Alternatively, marker-derived protein levels can be determined by constructing an antibody microarray in which binding sites comprise immobilized, preferably monoclonal, antibodies specific to a plurality of protein species encoded by the cell genome. Preferably, antibodies are present for a substantial fraction of the marker-derived proteins of interest. Methods for making monoclonal antibodies are well known (see, e.g., Harlow and Lane, 1988, Antibodies: A Laboratory Manual, Cold Spring Harbor, New York, which is incorporated in its entirety for all purposes). In one embodiment, monoclonal antibodies are raised against synthetic peptide fragments designed based on genomic sequence of the cell. With such an antibody array, proteins from the cell are contacted to the array, and their binding is assayed with assays known in the art. Generally, the expression, and the level of expression, of proteins of diagnostic or prognostic interest can be detected through immunohistochemical staining of tissue slices or sections.

Finally, expression of marker genes in a number of tissue specimens may be characterized using a "tissue array" (Kononen et al., Nat. Med 4(7):844-7 (1998)). In a tissue array, multiple tissue samples are assessed on the same microarray. The arrays allow in situ detection of RNA and protein levels; consecutive sections allow the analysis of multiple samples simultaneously.

### 5.3.2. MICROARRAYS

In preferred embodiments, polynucleotide microarrays are used to measure expression so that the expression status of each of the markers above is assessed simultaneously. Generally, microarrays according to the invention comprise a plurality of markers informative for prognosis, or outcome determination, for a particular disease or condition, and, in particular, for individuals having specific combinations of genotypic or phenotypic characteristics of the disease or condition (*i.e.*, that are prognosis-informative for a particular patient subset).

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The microarrays of the invention preferably comprise at least 2, 3, 4, 5, 7, 10, 15, 20, 25, 30, 35, 40, 45, 50, 75, 100, 150, 200 or more of markers, or all of the markers, or any combination of markers, identified as prognosis-informative within a patient subset. The actual number of informative markers the microarray comprises will vary depending upon the particular condition of interest, the number of markers identified, and, optionally, the number of informative markers found to result in the least Type I error, Type II error, or Type I and Type II error in determination of prognosis. As used herein, "Type I error" means a false positive and "Type II error" means a false negative; in the example of prognosis of beast cancer, Type I error is the mis-characterization of an individual with a good prognosis as having a poor prognosis, and Type II error is the mis-characterization of an individual with a poor prognosis as having a good prognosis.

In specific embodiments, the invention provides polynucleotide arrays in which the prognosis markers identified for a particular patient subset comprise at least 50%, 60%, 70%, 80%, 85%, 90%, 95% or 98% of the probes on said array. In another specific embodiment, the microarray comprises a plurality of probes, wherein said plurality of probes comprise probes complementary and hybridizable to at least 75% of the prognosis-informative markers identified for a particular patient subset. Microarrays of the invention, of course, may comprise probes complementary and hybridizable to prognosis-informative markers for a plurality of the patient subsets, or for each patient subset, identified for a particular condition. In another embodiment, therefore, the microarray of the invention comprises a plurality of probes complementary and hybridizable to at least 75% of the prognosis-informative markers identified for each patient subset identified for the condition of interest, and wherein said probes, in total, are at least 50% of the probes on said microarray.

In yet another specific embodiment, microarrays that are used in the methods disclosed herein optionally comprise markers additional to at least some of the markers

identified by the methods disclosed elsewhere herein. For example, in a specific embodiment, the microarray is a screening or scanning array as described in Altschuler et al., International Publication WO 02/18646, published March 7, 2002 and Scherer et al., International Publication WO 02/16650, published February 28, 2002. The scanning and screening arrays comprise regularly-spaced, positionally-addressable probes derived from genomic nucleic acid sequence, both expressed and unexpressed. Such arrays may comprise probes corresponding to a subset of, or all of, the markers identified for the patient subset(s) for the condition of interest, and can be used to monitor marker expression in the same way as a microarray containing only prognosis-informative markers otherwise identified.

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In yet another specific embodiment, the microarray is a commercially-available cDNA microarray that comprises at least five markers identified by the methods described herein. Preferably, a commercially-available cDNA microarray comprises all of the markers identified by the methods described herein as being informative for a patient subset for a particular condition. However, such a microarray may comprise at least 5, 10, 15 or 25 of such markers, up to the maximum number of markers identified.

In an embodiment specific to breast cancer, the invention provides for oligonucleotide or cDNA arrays comprising probes hybridizable to the genes corresponding to each of the marker sets described above (i.e., markers informative for ER<sup>-</sup>, sporadic individuals, markers informative for ER<sup>+</sup>, ER/AGE high individuals, markers informative for ER<sup>+</sup>, ER/AGE low, LN<sup>+</sup> individuals, and markers informative for ER<sup>+</sup>, ER/AGE low, LN<sup>-</sup> individuals, as shown in Tables 1-5). Any of the microarrays described herein may be provided in a sealed container in a kit.

The invention provides microarrays containing probes useful for the prognosis of any breast cancer patient, or for breast cancer patients classified into one of a plurality of patient subsets. In particular, the invention provides polynucleotide arrays comprising probes to a subset or subsets of at least 5, 10, 15, 20, 25 or more of the genetic markers, or up to the full set of markers, in any of Tables 1-5, which distinguish between patients with good and poor prognosis. In certain embodiments, therefore, the invention provides microarrays comprising probes for a plurality of the genes for which markers are listed in Tables 1, 2, 3, 4 or 5. In a specific embodiment, the microarray of the invention comprises 1, 2, 3, 4, 5 or 10 of the markers in Table 1, at least five of the markers in Table 2; 1, 2, 3, 4, 5 or 10 of the markers in Table 3; 1, 2, 3, 4, 5 or 10 of the markers in Table 3; 1, 2, 3, 4, 5 or 10 of the markers in

Table 1. In other embodiments, the microarray comprises probes for 1, 2, 3, 4, 5, or 10 of the markers shown in any two, three or four of Tables 1-5, or all of Tables 1-5. In other embodiments, the microarray of the invention contains each of the markers in Table 1, Table 2, Table 3, Table 4, or Table 5. In another embodiment, the microarray contains all of the markers shown in Tables 1-5. In specific embodiments, the array comprises probes derived only from the markers listed in Table 1, Table 2, Table 3, Table 4, or Table 5; probes derived from any two of Tables 1-5; any three of Tables 1-5; any four of Tables 1-5; or all of Tables 1-5.

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In other embodiments, the array comprises a plurality of probes derived from markers listed in any of Tables 1-5 in combination with a plurality of other probes, derived from markers not listed in any of Tables 1-5, that are identified as informative for the prognosis of breast cancer.

In specific embodiments, the invention provides polynucleotide arrays in which the breast cancer prognosis markers described herein in Tables 1, 2, 3, 4 and/or 5 comprise at least 50%, 60%, 70%, 80%, 85%, 90%, 95% or 98% of the probes on said array. In another specific embodiment, the microarray comprises a plurality of probes, wherein said plurality of probes comprise probes complementary and hybridizable to at least 75% of the genes for which markers are listed in Table 1; probes complementary and hybridizable to at least 75% of the genes for which markers are listed in Table 2; probes complementary and hybridizable to at least 75% of the genes for which markers are listed in Table 3; probes complementary and hybridizable to at least 75% of the genes for which markers are listed in Table 4; and probes complementary and hybridizable to at least 75% of the genes for which markers are listed in Table 5, wherein said probes, in total, are at least 50% of the probes on said microarray.

In yet another specific embodiment, microarrays that are used in the methods disclosed herein optionally comprise markers additional to at least some of the markers listed in Tables 1-5. For example, in a specific embodiment, the microarray is a screening or scanning array as described in Altschuler *et al.*, International Publication WO 02/18646, published March 7, 2002 and Scherer *et al.*, International Publication WO 02/16650, published February 28, 2002. The scanning and screening arrays comprise regularly-spaced, positionally-addressable probes derived from genomic nucleic acid sequence, both expressed and unexpressed. Such arrays may comprise probes corresponding to a subset of, or all of,

the markers listed in Tables 1-5, or a subset thereof as described above, and can be used to monitor marker expression in the same way as a microarray containing only markers listed in Tables 1-5.

In yet another specific embodiment, the microarray is a commercially-available cDNA microarray that comprises at least five of the markers listed in Tables 1-5. Preferably, a commercially-available cDNA microarray comprises all of the markers listed in Tables 1-5. However, such a microarray may comprise at least 5, 10, 15 or 25 of the markers in any of Tables 1-5, up to the maximum number of markers in a Table, and may comprise all of the markers in any one of Tables 1-5, and a subset of another of Tables 1-5, or subsets of each as described above. In a specific embodiment of the microarrays used in the methods disclosed herein, the markers that are all or a portion of Tables 1-5 make up at least 50%, 60%, 70%, 80%, 90%, 95% or 98% of the probes on the microarray.

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General methods pertaining to the construction of microarrays comprising the marker sets and/or subsets above are described in the following sections.

### 5.3.2.1. CONSTRUCTION OF MICROARRAYS

Microarrays are prepared by selecting probes which comprise a polynucleotide sequence, and then immobilizing such probes to a solid support or surface. For example, the probes may comprise DNA sequences, RNA sequences, or copolymer sequences of DNA and RNA. The polynucleotide sequences of the probes may also comprise DNA and/or RNA analogues, or combinations thereof. For example, the polynucleotide sequences of the probes may be full or partial fragments of genomic DNA. The polynucleotide sequences of the probes may also be synthesized nucleotide sequences, such as synthetic oligonucleotide sequences. The probe sequences can be synthesized either enzymatically *in vitro*, enzymatically *in vitro*.

The probe or probes used in the methods of the invention are preferably immobilized to a solid support which may be either porous or non-porous. For example, the probes of the invention may be polynucleotide sequences which are attached to a nitrocellulose or nylon membrane or filter covalently at either the 3' or the 5' end of the polynucleotide. Such hybridization probes are well known in the art (see, e.g., Sambrook et al., MOLECULAR CLONING - A LABORATORY MANUAL (2ND ED.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989). Alternatively, the solid support or surface may be a

glass or plastic surface. In a particularly preferred embodiment, hybridization levels are measured to microarrays of probes consisting of a solid phase on the surface of which are immobilized a population of polynucleotides, such as a population of DNA or DNA mimics, or, alternatively, a population of RNA or RNA mimics. The solid phase may be a nonporous or, optionally, a porous material such as a gel.

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In preferred embodiments, a microarray comprises a support or surface with an ordered array of binding (e.g., hybridization) sites or "probes" each representing one of the markers described herein. Preferably the microarrays are addressable arrays, and more preferably positionally addressable arrays. More specifically, each probe of the array is preferably located at a known, predetermined position on the solid support such that the identity (i.e., the sequence) of each probe can be determined from its position in the array (i.e., on the support or surface). In preferred embodiments, each probe is covalently attached to the solid support at a single site.

Microarrays can be made in a number of ways, of which several are described below. However produced, microarrays share certain characteristics. The arrays are reproducible, allowing multiple copies of a given array to be produced and easily compared with each other. Preferably, microarrays are made from materials that are stable under binding (e.g., nucleic acid hybridization) conditions. The microarrays are preferably small, e.g., between 1 cm² and 25 cm², between 12 cm² and 13 cm², or 3 cm². However, larger arrays are also contemplated and may be preferable, e.g., for use in screening arrays. Preferably, a given binding site or unique set of binding sites in the microarray will specifically bind (e.g., hybridize) to the product of a single gene in a cell (e.g., to a specific mRNA, or to a specific cDNA derived therefrom). However, in general, other related or similar sequences will cross hybridize to a given binding site.

The microarrays of the present invention include one or more test probes, each of which has a polynucleotide sequence that is complementary to a subsequence of RNA or DNA to be detected. Preferably, the position of each probe on the solid surface is known. Indeed, the microarrays are preferably positionally addressable arrays. Specifically, each probe of the array is preferably located at a known, predetermined position on the solid support such that the identity (i.e., the sequence) of each probe can be determined from its position on the array (i.e., on the support or surface).

According to the invention, the microarray is an array (i.e., a matrix) in which each position represents one of the markers described herein. For example, each position can contain a DNA or DNA analogue based on genomic DNA to which a particular RNA or cDNA transcribed from that genetic marker can specifically hybridize. The DNA or DNA analogue can be, e.g., a synthetic oligomer or a gene fragment. In one embodiment, probes representing each of the markers is present on the array. In a preferred embodiment, the array comprises probes for each of the markers listed in Tables 1-5.

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### 5.3.2.2. PREPARING PROBES FOR MICROARRAYS

As noted above, the "probe" to which a particular polynucleotide molecule specifically hybridizes according to the invention contains a complementary genomic polynucleotide sequence. The probes of the microarray preferably consist of nucleotide sequences of no more than 1,000 nucleotides. In some embodiments, the probes of the array consist of nucleotide sequences of 10 to 1,000 nucleotides. In a preferred embodiment, the nucleotide sequences of the probes are in the range of 10-200 nucleotides in length and are genomic sequences of a species of organism, such that a plurality of different probes is present, with sequences complementary and thus capable of hybridizing to the genome of such a species of organism, sequentially tiled across all or a portion of such genome. In other specific embodiments, the probes are in the range of 10-30 nucleotides in length, in the range of 10-40 nucleotides in length, in the range of 50-150 nucleotides in length, in the range of 80-120 nucleotides in length, and most preferably are 60 nucleotides in length.

The probes may comprise DNA or DNA "mimics" (e.g., derivatives and analogues) corresponding to a portion of an organism's genome. In another embodiment, the probes of the microarray are complementary RNA or RNA mimics. DNA mimics are polymers composed of subunits capable of specific, Watson-Crick-like hybridization with DNA, or of specific hybridization with RNA. The nucleic acids can be modified at the base moiety, at the sugar moiety, or at the phosphate backbone. Exemplary DNA mimics include, e.g., phosphorothioates.

DNA can be obtained, e.g., by polymerase chain reaction (PCR) amplification of genomic DNA or cloned sequences. PCR primers are preferably chosen based on a known sequence of the genome that will result in amplification of specific fragments of genomic

DNA. Computer programs that are well known in the art are useful in the design of primers with the required specificity and optimal amplification properties, such as *Oligo* version 5.0 (National Biosciences). Typically each probe on the microarray will be between 10 bases and 50,000 bases, usually between 300 bases and 1,000 bases in length. PCR methods are well known in the art, and are described, for example, in Innis *et al.*, eds., PCR PROTOCOLS: A GUIDE TO METHODS AND APPLICATIONS, Academic Press Inc., San Diego, CA (1990). It will be apparent to one skilled in the art that controlled robotic systems are useful for isolating and amplifying nucleic acids.

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An alternative, preferred means for generating the polynucleotide probes of the microarray is by synthesis of synthetic polynucleotides or oligonucleotides, e.g., using N-phosphonate or phosphoramidite chemistries (Froehler et al., Nucleic Acid Res. 14:5399-5407 (1986); McBride et al., Tetrahedron Lett. 24:246-248 (1983)). Synthetic sequences are typically between about 10 and about 500 bases in length, more typically between about 20 and about 100 bases, and most preferably between about 40 and about 70 bases in length. In some embodiments, synthetic nucleic acids include non-natural bases, such as, but by no means limited to, inosine. As noted above, nucleic acid analogues may be used as binding sites for hybridization. An example of a suitable nucleic acid analogue is peptide nucleic acid (see, e.g., Egholm et al., Nature 363:566-568 (1993); U.S. Patent No. 5,539,083).

Probes are preferably selected using an algorithm that takes into account binding energies, base composition, sequence complexity, cross-hybridization binding energies, and secondary structure. *See* Friend *et al.*, International Patent Publication WO 01/05935, published January 25, 2001; Hughes *et al.*, *Nat. Biotech.* 19:342-7 (2001).

A skilled artisan will also appreciate that positive control probes, e.g., probes known to be complementary and hybridizable to sequences in the target polynucleotide molecules, and negative control probes, e.g., probes known to not be complementary and hybridizable to sequences in the target polynucleotide molecules, should be included on the array. In one embodiment, positive controls are synthesized along the perimeter of the array. In another embodiment, positive controls are synthesized in diagonal stripes across the array. In still another embodiment, the reverse complement for each probe is synthesized next to the position of the probe to serve as a negative control. In yet another embodiment, sequences from other species of organism are used as negative controls or as "spike-in" controls.

### 5.3.2.3. ATTACHING PROBES TO THE SOLID SURFACE

The probes are attached to a solid support or surface, which may be made, e.g., from glass, plastic (e.g., polypropylene, nylon), polyacrylamide, nitrocellulose, gel, or other porous or nonporous material. A preferred method for attaching the nucleic acids to a surface is by printing on glass plates, as is described generally by Schena et al, Science 270:467-470 (1995). This method is especially useful for preparing microarrays of cDNA (See also, DeRisi et al, Nature Genetics 14:457-460 (1996); Shalon et al., Genome Res. 6:639-645 (1996); and Schena et al., Proc. Natl. Acad. Sci. U.S.A. 93:10539-11286 (1995)).

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A second preferred method for making microarrays is by making high-density oligonucleotide arrays. Techniques are known for producing arrays containing thousands of oligonucleotides complementary to defined sequences, at defined locations on a surface using photolithographic techniques for synthesis *in situ* (see, Fodor *et al.*, 1991, *Science* 251:767-773; Pease *et al.*, 1994, *Proc. Natl. Acad. Sci. U.S.A.* 91:5022-5026; Lockhart *et al.*, 1996, *Nature Biotechnology* 14:1675; U.S. Patent Nos. 5,578,832; 5,556,752; and 5,510,270) or other methods for rapid synthesis and deposition of defined oligonucleotides (Blanchard *et al.*, *Biosensors & Bioelectronics* 11:687-690). When these methods are used, oligonucleotides (*e.g.*, 60-mers) of known sequence are synthesized directly on a surface such as a derivatized glass slide. Usually, the array produced is redundant, with several oligonucleotide molecules per RNA.

Other methods for making microarrays, e.g., by masking (Maskos and Southern, 1992, Nuc. Acids. Res. 20:1679-1684), may also be used. In principle, and as noted supra, any type of array, for example, dot blots on a nylon hybridization membrane (see Sambrook et al., Molecular Cloning - A Laboratory Manual (2nd Ed.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989)) could be used. However, as will be recognized by those skilled in the art, very small arrays will frequently be preferred because hybridization volumes will be smaller.

In one embodiment, the arrays of the present invention are prepared by synthesizing polynucleotide probes on a support. In such an embodiment, polynucleotide probes are attached to the support covalently at either the 3' or the 5' end of the polynucleotide.

In a particularly preferred embodiment, microarrays of the invention are manufactured by means of an ink jet printing device for oligonucleotide synthesis, e.g., using

the methods and systems described by Blanchard in U.S. Pat. No. 6,028,189; Blanchard et al., 1996, *Biosensors and Bioelectronics* 11:687-690; Blanchard, 1998, in Synthetic DNA Arrays in Genetic Engineering, Vol. 20, J.K. Setlow, Ed., Plenum Press, New York at pages 111-123. Specifically, the oligonucleotide probes in such microarrays are preferably synthesized in arrays, e.g., on a glass slide, by serially depositing individual nucleotide bases in "microdroplets" of a high surface tension solvent such as propylene carbonate. The microdroplets have small volumes (e.g., 100 pL or less, more preferably 50 pL or less) and are separated from each other on the microarray (e.g., by hydrophobic domains) to form circular surface tension wells which define the locations of the array elements (i.e., the different probes). Microarrays manufactured by this ink-jet method are typically of high density, preferably having a density of at least about 2,500 different probes per 1 cm<sup>2</sup>. The polynucleotide probes are attached to the support covalently at either the 3' or the 5' end of the polynucleotide.

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### 5.3.2.4. TARGET POLYNUCLEOTIDE MOLECULES

The polynucleotide molecules which may be analyzed by the present invention (the "target polynucleotide molecules") may be from any clinically relevant source, but are expressed RNA or a nucleic acid derived therefrom (e.g., cDNA or amplified RNA derived from cDNA that incorporates an RNA polymerase promoter), including naturally occurring nucleic acid molecules, as well as synthetic nucleic acid molecules. In one embodiment, the target polynucleotide molecules comprise RNA, including, but by no means limited to, total cellular RNA, poly(A)<sup>+</sup> messenger RNA (mRNA) or fraction thereof, cytoplasmic mRNA, or RNA transcribed from cDNA (i.e., cRNA; see, e.g., Linsley & Schelter, U.S. Patent Application No. 09/411,074, filed October 4, 1999, or U.S. Patent Nos. 5,545,522, 5,891,636. or 5,716,785). Methods for preparing total and poly(A)+ RNA are well known in the art, and are described generally, e.g., in Sambrook et al., MOLECULAR CLONING - A LABORATORY MANUAL (2ND ED.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989). In one embodiment, RNA is extracted from cells of the various types of interest in this invention using guanidinium thiocyanate lysis followed by CsCl centrifugation (Chirgwin et al., 1979, Biochemistry 18:5294-5299). In another embodiment, total RNA is extracted using a silica gel-based column, commercially available examples of which include RNeasy (Qiagen, Valencia, California) and StrataPrep (Stratagene, La Jolla, California). In an alternative embodiment, which is preferred for S. cerevisiae, RNA is extracted from cells

using phenol and chloroform, as described in Ausubel et al., eds., 1989, CURRENT PROTOCOLS IN MOLECULAR BIOLOGY, Vol. III, Green Publishing Associates, Inc., John Wiley & Sons, Inc., New York, at pp. 13.12.1-13.12.5). Poly(A)<sup>+</sup> RNA can be selected, e.g., by selection with oligo-dT cellulose or, alternatively, by oligo-dT primed reverse transcription of total cellular RNA. In one embodiment, RNA can be fragmented by methods known in the art, e.g., by incubation with ZnCl<sub>2</sub>, to generate fragments of RNA. In another embodiment, the polynucleotide molecules analyzed by the invention comprise cDNA, or PCR products of amplified RNA or cDNA.

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In one embodiment, total RNA, mRNA, or nucleic acids derived therefrom, is isolated from a sample taken from a person afflicted with breast cancer. Target polynucleotide molecules that are poorly expressed in particular cells may be enriched using normalization techniques (Bonaldo *et al.*, 1996, *Genome Res.* 6:791-806).

As described above, the target polynucleotides are detectably labeled at one or more nucleotides. Any method known in the art may be used to detectably label the target polynucleotides. Preferably, this labeling incorporates the label uniformly along the length of the RNA, and more preferably, the labeling is carried out at a high degree of efficiency. One embodiment for this labeling uses oligo-dT primed reverse transcription to incorporate the label; however, conventional methods of this method are biased toward generating 3' end fragments. Thus, in a preferred embodiment, random primers (e.g., 9-mers) are used in reverse transcription to uniformly incorporate labeled nucleotides over the full length of the target polynucleotides. Alternatively, random primers may be used in conjunction with PCR methods or T7 promoter-based in vitro transcription methods in order to amplify the target polynucleotides.

In a preferred embodiment, the detectable label is a luminescent label. For example, fluorescent labels, bioluminescent labels, chemiluminescent labels, and colorimetric labels may be used in the present invention. In a highly preferred embodiment, the label is a fluorescent label, such as a fluorescein, a phosphor, a rhodamine, or a polymethine dye derivative. Examples of commercially available fluorescent labels include, for example, fluorescent phosphoramidites such as FluorePrime (Amersham Pharmacia, Piscataway, N.J.), Fluoredite (Millipore, Bedford, Mass.), FAM (ABI, Foster City, Calif.), and Cy3 or Cy5 (Amersham Pharmacia, Piscataway, N.J.). In another embodiment, the detectable label is a radiolabeled nucleotide.

In a further preferred embodiment, target polynucleotide molecules from a patient sample are labeled differentially from target polynucleotide molecules of a standard. The standard can comprise target polynucleotide molecules from normal individuals (*i.e.*, those not afflicted with breast cancer). In a highly preferred embodiment, the standard comprises target polynucleotide molecules pooled from samples from normal individuals or tumor samples from individuals having sporadic-type breast tumors. In another embodiment, the target polynucleotide molecules are derived from the same individual, but are taken at different time points, and thus indicate the efficacy of a treatment by a change in expression of the markers, or lack thereof, during and after the course of treatment (*i.e.*, chemotherapy, radiation therapy or cryotherapy), wherein a change in the expression of the markers from a poor prognosis pattern to a good prognosis pattern indicates that the treatment is efficacious. In this embodiment, different timepoints are differentially labeled.

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#### 5.3.2.5. HYBRIDIZATION TO MICROARRAYS

Nucleic acid hybridization and wash conditions are chosen so that the target polynucleotide molecules specifically bind or specifically hybridize to the complementary polynucleotide sequences of the array, preferably to a specific array site, wherein its complementary DNA is located.

Arrays containing double-stranded probe DNA situated thereon are preferably subjected to denaturing conditions to render the DNA single-stranded prior to contacting with the target polynucleotide molecules. Arrays containing single-stranded probe DNA (e.g., synthetic oligodeoxyribonucleic acids) may need to be denatured prior to contacting with the target polynucleotide molecules, e.g., to remove hairpins or dimers which form due to self complementary sequences.

Optimal hybridization conditions will depend on the length (e.g., oligomer versus polynucleotide greater than 200 bases) and type (e.g., RNA, or DNA) of probe and target nucleic acids. One of skill in the art will appreciate that as the oligonucleotides become shorter, it may become necessary to adjust their length to achieve a relatively uniform melting temperature for satisfactory hybridization results. General parameters for specific (i.e., stringent) hybridization conditions for nucleic acids are described in Sambrook et al., MOLECULAR CLONING - A LABORATORY MANUAL (2ND ED.), Vols. 1-3, Cold Spring Harbor Laboratory, Cold Spring Harbor, New York (1989), and in Ausubel et al., CURRENT

PROTOCOLS IN MOLECULAR BIOLOGY, vol. 2, Current Protocols Publishing, New York (1994). Typical hybridization conditions for the cDNA microarrays of Schena *et al.* are hybridization in 5 X SSC plus 0.2% SDS at 65°C for four hours, followed by washes at 25°C in low stringency wash buffer (1 X SSC plus 0.2% SDS), followed by 10 minutes at 25°C in higher stringency wash buffer (0.1 X SSC plus 0.2% SDS) (Schena *et al.*, *Proc. Natl. Acad. Sci. U.S.A.* 93:10614 (1993)). Useful hybridization conditions are also provided in, *e.g.*, Tijessen, 1993, Hybridization With Nucleic Acid Probes, Elsevier Science Publishers B.V.; and Kricka, 1992, Nonisotopic DNA Probe Techniques, Academic Press, San Diego, CA.

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Particularly preferred hybridization conditions include hybridization at a temperature at or near the mean melting temperature of the probes (e.g., within 51°C, more preferably within 21°C) in 1 M NaCl, 50 mM MES buffer (pH 6.5), 0.5% sodium sarcosine and 30% formamide.

### 5.3.2.6. SIGNAL DETECTION AND DATA ANALYSIS

When fluorescently labeled probes are used, the fluorescence emissions at each site of a microarray may be, preferably, detected by scanning confocal laser microscopy. In one embodiment, a separate scan, using the appropriate excitation line, is carried out for each of the two fluorophores used. Alternatively, a laser may be used that allows simultaneous specimen illumination at wavelengths specific to the two fluorophores and emissions from the two fluorophores can be analyzed simultaneously (see Shalon et al., 1996, "A DNA microarray system for analyzing complex DNA samples using two-color fluorescent probe hybridization," Genome Research 6:639-645, which is incorporated by reference in its entirety for all purposes). In a preferred embodiment, the arrays are scanned with a laser fluorescent scanner with a computer controlled X-Y stage and a microscope objective. Sequential excitation of the two fluorophores is achieved with a multi-line, mixed gas laser and the emitted light is split by wavelength and detected with two photomultiplier tubes. Fluorescence laser scanning devices are described in Schena et al., Genome Res. 6:639-645 (1996), and in other references cited herein. Alternatively, the fiber-optic bundle described by Ferguson et al., Nature Biotech. 14:1681-1684 (1996), may be used to monitor mRNA abundance levels at a large number of sites simultaneously.

Signals are recorded and, in a preferred embodiment, analyzed by computer, e.g., using a 12 or 16 bit analog to digital board. In one embodiment the scanned image is despeckled using a graphics program (e.g., Hijaak Graphics Suite) and then analyzed using an image gridding program that creates a spreadsheet of the average hybridization at each wavelength at each site. If necessary, an experimentally determined correction for "cross talk" (or overlap) between the channels for the two fluors may be made. For any particular hybridization site on the transcript array, a ratio of the emission of the two fluorophores can be calculated. The ratio is independent of the absolute expression level of the cognate gene, but is useful for genes whose expression is significantly modulated in association with the different breast cancer-related condition.

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### 5.4. THERAPEUTIC REGIMENS SPECIFIC TO PATIENT SUBSETS

The benefit of identifying subsets of individuals that have a common condition, followed by identification of sets of genes informative for those particular subsets of individuals, is that such subdivision and identification tends to more accurately identify the subset of genes responsible for, or most closely associated with, a particular form of the condition. For example, breast cancer is a complex condition brought about by several different molecular mechanisms. ER+ individuals, particularly ER+, ER/AGE high individuals, show an increased level of expression of cell cycle-control genes, and the expression of these genes is highly informative for prognosis in this patient subset (*see* Examples). In ER<sup>-</sup> individuals, however, the expression of these genes is not informative for prognosis.

The set of informative markers, therefore, can be used to assign a particular course of therapy to an individual, e.g., an individual having breast cancer, depending upon the condition subset into which the individual is classified. In one embodiment, therefore, the invention provides a method of assigning a course of therapy to an individual having a condition, said method comprising classifying the individual into one of a plurality of subsets of a condition, wherein a plurality of informative genes has been identified for at least one of said subsets; and assigning a course of therapy known or suspected to be effective for treating the subset of the condition associated with those genes. In a specific embodiment, said condition is breast cancer, said patient subset is ER+, ER/AGE high status, and said course of therapy comprises the administration of one or more compounds known or suspected to be

effective at arresting the cell cycle. In a more specific embodiment, said one or more compounds comprises taxol or a vinca alkaloid.

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Of course, any course of therapy selected or assigned on the basis of the above phenotypes and gene expression may be supplemented by other treatments or courses of therapy relevant to or known or suspected to be effective in the treatment of the condition. For example, the treatment of breast cancer may additionally comprise surgery, either tissue-preserving or radical, radiation treatment, chemotherapy other than that suggested by gene expression analysis, or any other therapy or treatment known or suspected to be effective.

### 5.5. <u>CLINICAL TRIALS AND EPIDEMIOLOGICAL STUDIES</u>

The method of the present invention may also be used to assign individuals to categories within a clinical trial, epidemiological study or the like. For example, individuals may be distinguished according to a characteristic of a condition, such as the presence or absence of specific proteins (e.g., estrogen receptor) or tissue structures (e.g., lymph nodes), and with prognosis, and the results of the trial correlated with prognosis. In a specific example, the condition is breast cancer, the characteristic is the presence of the estrogen receptor, and the prognosis is the expected occurrence or non-occurrence of metastases within a given period, for example, five years, after initial diagnosis. In another specific example, the condition is obesity, the characteristics are 24-hour energy expenditure, and the prognosis is the expected occurrence of heart disease or diabetes. In another specific example, the condition is a neurodegenerative disease, the characteristic is exposure to a particular range of concentration of an environmental toxin, and the prognosis is expected occurrence or degree of loss of motor function. In each case, the characteristics and expected outcome are used to assign the individual to a category within a clinical trial or epidemiological study.

Thus, the invention provides a method for assigning an individual to one of a plurality of categories in a clinical trial, comprising classifying the individual into one of a plurality of condition categories differentiated by at least one genotypic or phenotypic characteristic of the condition; determining the level of expression, in a sample derived from said individual, of a plurality of genes informative for said condition category; determining whether said level of expression of said plurality of genes indicates that the individual has a good prognosis or a poor prognosis; and assigning the individual to a category in a clinical trial on the basis of prognosis.

In a specific embodiment, the invention provides a method of assigning an individual to a category in a breast cancer clinical trial, said method comprising: (a) classifying said individual as ER, BRCA1, ER, sporadic; ER+, ER/AGE high; ER+, ER/AGE low, LN+; or ER+, ER/AGE low, LN; (b) determining for said individual the level of expression of at least two genes for which markers are listed in Table 1 if said individual is classified as ER, BRCA1: Table 2 if said individual is classified as ER, sporadic; Table 3 if said individual is classified as ER+, ER/AGE high; Table 4 if said individual is classified as ER+, ER/AGE low, LN+; or Table 5 if said individual is classified as ER+, ER/AGE low, LN; (c) determining whether said individual has a pattern of expression of said at least two genes that correlates with a good prognosis or a poor prognosis; and (d) assigning said individual to at least one category in a clinical trial if said individual has a good prognosis, and assigning said individual to a second category in said clinical trial if said individual has a poor prognosis. In a more specific embodiment, said individual is additionally assigned to a category in said clinical trial on the basis of the classification of said individual as determined in step (a). In another more specific embodiment, said individual is additionally assigned to a category in said clinical trial on the basis of any other clinical, phenotypic or genotypic characteristic of breast cancer. In another more specific embodiment, the method additionally comprises determining in said cell sample the level of expression, relative to a control, of a second plurality of genes for which markers are not found in Tables 1-5, wherein said second plurality of genes is informative for prognosis of breast cancer, and determining from the expression of said second plurality of genes, in addition to said first plurality of genes, whether said individual has a good prognosis or a poor prognosis.

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#### 5.6. KITS

The present invention further provides for kits comprising the marker sets above. The components of the kits of the present invention are preferably contained in sealed containers. In a preferred embodiment, the kit comprises a microarray ready for hybridization to target polynucleotide molecules. In specific embodiments, the kit may comprise any of the microarrays described in detail in Section 5.3.2. Where proteins are the target molecules, the kit preferably comprises a plurality of antibodies for binding to specific condition-related proteins, and means for identifying such binding (e.g., means for performing a sandwich assay, ELISA, RIA, etc.). Such antibodies may be provided, for example, individually or as part of an antibody array. The kit may additionally comprise software for the data analyses described above, as described in detail in Section 5.7. The kit preferably contains one or

more controls. Such a control may be an artificial population of marker-related or marker-derived polynucleotides suitable for hybridization to a microarray, wherein the markers are related to or relevant to the condition of interest (for example, breast cancer). The control may also, or alternatively, be a set of expression values stored on a computer disk or other storage medium.

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The kits of the invention may be primarily diagnostic in nature; that is, they may assist a physician or researcher in determining a characteristic, for example, the prognosis, of a condition of interest, the likely response to a therapeutic regimen, the likely outcome of exposure to an environmental condition, such as toxin exposure, etc. The kits of the invention may also be used to classify individuals, for example, to place individuals into different groups in a clinical trial. The use of each kit is determined by the markers, microarrays, controls, etc. included.

### 5.7. COMPUTER-FACILITATED ANALYSIS

The analytic methods described in the previous sections can be implemented by use of the following computer systems and according to the following programs and methods. A computer system comprises internal components linked to external components. The internal components of a typical computer system include a processor element interconnected with a main memory. For example, the computer system can be based on an Intel 8086-, 80386-, 80486-, Pentium<sup>TM</sup>, or Pentium<sup>TM</sup>-based processor with preferably 32 MB or more of main memory. The computer system may also be a Macintosh or a Macintosh-based system, but may also be a minicomputer or mainframe.

The external components preferably include mass storage. This mass storage can be one or more hard disks (which are typically packaged together with the processor and memory). Such hard disks are preferably of 1 GB or greater storage capacity. Other external components include a user interface device, which can be a monitor, together with an inputting device, which can be a "mouse", or other graphic input devices, and/or a keyboard. A printing device can also be attached to the computer.

Typically, a computer system is also linked to network link, which can be part of an Ethernet link to other local computer systems, remote computer systems, or wide area communication networks, such as the Internet. This network link allows the computer system to share data and processing tasks with other computer systems.

Loaded into memory during operation of this system are several software components, which are both standard in the art and special to the instant invention. These software components collectively cause the computer system to function according to the methods of this invention. These software components are typically stored on the mass storage device. A software component comprises the operating system, which is responsible for managing computer system and its network interconnections. This operating system can be, for example, of the Microsoft Windows<sup>®</sup> family, such as Windows 3.1, Windows 95, Windows 98, Windows 2000, or Windows NT, or may be of the Macintosh OS family, or may be UNIX, a UNIX derivative such as LINUX, or an operating system specific to a minicomputer or mainframe. The software component represents common languages and functions conveniently present on this system to assist programs implementing the methods specific to this invention. Many high or low level computer languages can be used to program the analytic methods of this invention. Instructions can be interpreted during runtime or compiled. Preferred languages include C/C++, FORTRAN and JAVA. Most preferably, the methods of this invention are programmed in mathematical software packages that allow symbolic entry of equations and high-level specification of processing, including some or all of the algorithms to be used, thereby freeing a user of the need to procedurally program individual equations or algorithms. Such packages include Mathlab from Mathworks (Natick, MA), Mathematica® from Wolfram Research (Champaign, IL), or S-Plus® from Math Soft (Cambridge, MA). Specifically, the software component includes the analytic methods of the invention as programmed in a procedural language or symbolic package.

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The software to be included with the kit comprises the data analysis methods of the invention as disclosed herein. In particular, the software may include mathematical routines for marker discovery, including the calculation of similarity values between clinical categories (e.g., prognosis) and marker expression. The software may also include mathematical routines for calculating the similarity between sample marker expression and template marker expression, using array-generated fluorescence data, to determine the clinical classification of a sample.

Additionally, the software may also include mathematical routines for determining the prognostic outcome, and the recommended therapeutic regimen, for an individual with a condition of interest. In the specific example of breast cancer, the mathematical routines

would determine the prognostic outcome and recommended therapeutic regimen for an individual having breast cancer. Such breast cancer-specific software would include instructions for the computer system's processor to receive data structures that include the level of expression of five or more of the marker genes listed in any of Tables 1-5 in a breast cancer tumor sample obtained from the breast cancer patient; the mean level of expression of the same genes in a control or template; and the breast cancer patient's clinical information, including age, lymph node status and ER status. The software may additionally include mathematical routines for transforming the hybridization data and for calculating the similarity between the expression profile of the marker genes in the patient's breast cancer tumor sample and a template. In a specific embodiment, the software includes mathematical routines for calculating a similarity metric, such as a coefficient of correlation, representing the similarity between the expression profile for the marker genes in the patient's breast cancer tumor sample and the template, and expressing the similarity as that similarity metric.

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The software preferably would include decisional routines that integrate the patient's clinical and marker gene expression data, and recommend a course of therapy. In one embodiment, for example, the software causes the processor unit to receive expression data for prognosis-related genes in the patient's tumor sample, calculate a metric of similarity of these expression values to the values for the same genes in a template, compare this similarity metric to a pre-selected similarity metric threshold or thresholds that differentiate prognostic groups, assign the patient to a prognostic group, and, on the basis of the prognostic group, assign a recommended therapeutic regimen. In a specific example, the software additionally causes the processor unit to receive data structures comprising clinical information about the breast cancer patient. In a more specific example, such clinical information includes the patient's age, estrogen receptor status, and lymph node status.

The software preferably causes the processor unit to receive data structures comprising relevant phenotypic and/or genotypic characteristics of the particular condition of interest, and/or of an individual having that condition, and classifies the individual into a condition subset according to those characteristics. The software then causes the processor to receive values for subset-specific markers, to calculate a metric of similarity of the values associated with those markers (e.g., level, abundance, activity, etc.) from the individual to a template, compare this similarity metric to a pre-selected similarity metric threshold or thresholds that differentiate prognostic groups, assign the patient to a prognostic group, and,

on the basis of the prognostic group, assign a recommended therapeutic regimen. In the specific example of breast cancer and a breast cancer patient, the software, in one embodiment, causes the processor unit to receive data structures comprising the patient's age, estrogen receptor status, and lymph node status, and on the basis of this data, to classify the patient into one of the following patient subsets: ER<sup>-</sup>, sporadic; ER<sup>-</sup>, BRCA1; ER+, AR/AGE high; ER+, ER/AGE low, LN+; or ER+, ER/AGE low, LN<sup>-</sup>. The software then causes the processor to receive expression values for subset-specific prognosis-informative gene expression in the patient's tumor sample, calculate a metric of similarity of these expression values to the values for the same genes in a patient subset-specific template or template, compare this similarity metric to a pre-selected similarity metric threshold or thresholds that differentiate prognostic groups, assign the patient to the prognostic group, and, on the basis of the prognostic group, assign a recommended therapeutic regimen.

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Where the template is an expression template comprising expression values for marker genes within a group of patients, e.g., breast cancer patients, the template can comprise either hybridization data obtained at the same time (i.e., in the same hybridization experiment) as the patient's individual hybridization data, or can be a set of hybridization or marker expression values stores on a computer, or on computer-readable media. If the latter is used, new patient hybridization data for the selected marker genes, obtained from initial or follow-up tumor samples, or suspected tumor samples, can be compared to the stored values for the same genes. However, the software may additionally comprise routines for updating the template data set, e.g., to add information from additional breast cancer patients or to remove existing members of the template data set, and, consequently, for recalculating the average expression level values that comprise the template. In another specific embodiment, said template comprises a set of single-channel mean hybridization intensity values for each of said at least five of said genes, stored on a computer-readable medium.

Clinical data relating to a breast cancer patient, or a patient having another type of condition, and used by the computer program products of the invention, can be contained in a database of clinical data in which information on each patient is maintained in a separate record, which record may contain any information relevant to the patient, the patient's medical history, treatment, prognosis, or participation in a clinical trial or study, including expression profile data generated as part of an initial diagnosis or for tracking the progress of the condition, for example, breast cancer, during treatment.

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Thus, one embodiment of the invention provides a computer program product for classifying a breast cancer patient according to prognosis, the computer program product for use in conjunction with a computer having a memory and a processor, the computer program product comprising a computer readable storage medium having a computer program mechanism encoded thereon, wherein said computer program product can be loaded into the one or more memory units of a computer and causes the one or more processor units of the computer to execute the steps of (a) receiving a first data structure comprising said breast cancer patient's age, ER status, LN status and tumor type; (b) classifying said patient as ER, sporadic; ER, BRCA1; ER+, ER/AGE high; ER+, ER/AGE low, LN+; or ER+, ER/AGE low, LN; (c) receiving a second data structure comprising the levels of expression of at least two genes in a cell sample taken from said breast cancer patient wherein markers for said at least two genes are listed in Table 1 if said patient is classified as ER, sporadic; Table 2 if said patient is classified as ER, sporadic; Table 3 if said patient is classified as ER+. ER/AGE high; Table 4 if said patient is classified as ER+, ER/AGE low, LN+; or Table 5 if said patient is classified as ER+, ER/AGE high, LN; (d) determining the similarity of the expression profile of said at least two genes to a template expression profile of said at least two genes to obtain a patient similarity value; (e) comparing said patient similarity value to selected first and second threshold values of similarity, respectively, wherein said second similarity threshold indicates greater similarity to said template expression profile than does said first similarity threshold; and (f) classifying said breast cancer patient as having a first prognosis if said patient similarity value exceeds said said second threshold similarity values, a second prognosis if said patient similarity value exceeds said first threshold similarity value but does not exceed said second threshold similarity value, and a third prognosis if said patient similarity value does not exceed said first threshold similarity value. In a specific embodiment of said computer program product, said first threshold value of similarity and said second threshold value of similarity are values stored in said computer. In another more specific embodiment, said first prognosis is a "very good prognosis," said second prognosis is an "intermediate prognosis," and said third prognosis is a "poor prognosis," and wherein said computer program mechanism may be loaded into the memory and further cause said one or more processor units of said computer to execute the step of assigning said breast cancer patient a therapeutic regimen comprising no adjuvant chemotherapy if the patient is lymph node negative and is classified as having a good prognosis or an intermediate prognosis, or comprising chemotherapy if said patient has any other combination of lymph node status and expression profile. In another specific embodiment, said computer program mechanism may

be loaded into the memory and further cause said one or more processor units of the computer to execute the steps of receiving a data structure comprising clinical data specific to said breast cancer patient. In a more specific embodiment, said single-channel hybridization intensity values are log transformed. The computer implementation of the method, however, may use any desired transformation method. In another specific embodiment, the computer program product causes said processing unit to perform said comparing step (e) by calculating the correlation between the expression profile of said genes in said cell sample taken from said breast cancer patient and the template expression profile of the same genes. In another specific embodiment, the computer program product causes said processing unit to perform said comparing step (e) by calculating the distance between the expression profile of said genes in said cell sample taken from said breast cancer patient and the template expression profile of the same genes.

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Of course, the above breast cancer-specific examples are not limiting; analogous computer systems, software, and data analysis methods may be utilized for any condition of interest. For example, analogous software may be used to determine the prognosis of any other type of cancer, or of any other non-cancer diseases or conditions, using markers, expression level data and controls specific for that cancer, non-cancer disease or condition.

In an exemplary implementation, to practice the methods of the present invention, a user first loads experimental data into the computer system. These data can be directly entered by the user from a monitor, keyboard, or from other computer systems linked by a network connection, or on removable storage media such as a CD-ROM, floppy disk (not illustrated), tape drive (not illustrated), ZIP® drive (not illustrated) or through the network. Next the user causes execution of expression profile analysis software which performs the methods of the present invention.

In another exemplary implementation, a user first loads experimental data and/or databases into the computer system. This data is loaded into the memory from the storage media or from a remote computer, preferably from a dynamic geneset database system, through the network. Next the user causes execution of software that performs the steps of the present invention.

Additionally, because the data obtained and analyzed in the software and computer system products of the invention may be confidential, the software and/or computer system

preferably comprises access controls or access control routines, such as password protection and preferably, particularly if information is to be transmitted between computers, for example, over the Internet, encryption of the data by a suitable encryption algorithm (e.g., PGP).

Alternative computer systems and software for implementing the analytic methods of this invention will be apparent to one of skill in the art and are intended to be comprehended within the accompanying claims. In particular, the accompanying claims are intended to include the alternative program structures for implementing the methods of this invention that will be readily apparent to one of skill in the art.

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### 6. EXAMPLES

# 6.1. EXAMPLE 1: IDENTIFICATION OF PHENOTYPIC SUBSETS AND INFORMATIVE GENESETS FOR EACH

Materials and Methods

## **Tumor Samples:**

311 cohort samples were collected from breast cancer patients. Selection criteria for sporadic patients (*i.e.*, those not identified as having a BRCA1-type tumor; n = 291) included: primary invasive breast carcinoma less than 5 cm (T1 or T2); no axillary metastases (N0); age at diagnosis of less than 55 years; calendar year of diagnosis 1983-1996; and no previous malignancies. All patients were treated by modified radical mastectomy or breast-conserving treatment. See van't Veer et al., Nature 415:530 (2002). Selection criteria for hereditary (*i.e.*, BRCA1-type; n = 20) tumors included: carriers of germline mutation in BRCA1 or BRCA2, and primary invasive breast carcinoma. van't Veer, supra. Additionally, for development of a classifier for the BRCA1 group, 14 BRCA1 samples previously identified (see van't Veer, supra) were added to the 20 BRCA1 type samples to increase sample size. Those 14 samples also satisfy the conditions that they are ER negative and age less than 55 years old.

#### Data analysis:

Sample sub-grouping: As shown in FIG. 1, tumor samples were first divided into ER+ and ER<sup>-</sup> branches since this is the dominant gene expression pattern. In the ER<sup>-</sup> branch, the samples were further divided into "BRCA1 mutation like" and "Sporadic like" categories

using the expression templates and 100 genes previously identified as optimal for determining *BRCA1* status. *See* van't Veer *et al.*, *Nature* 415:530 (2002). In the ER+ category, samples were divided by ER vs. age distribution (see below) into two groups, "ER/AGE low" and "ER/AGE high." Within the "ER/AGE low" group, samples were further divided according to the lymph node status into two sub-groups: lymph node negative (0 lymph nodes; LN-) and positive (> 0 lymph nodes; LN+) group.

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The result of these divisions was five distinctive sub-groups: "ER, sporadic" (n = 52), "ER, BRCA1" (n = 34), "ER+, ER/AGE high" (n = 83), "ER+, ER/AGE low, LN," (n = 81), and "ER+, ER/AGE low, LN+" (n = 75). A few samples with a specific ER vs. age distribution in "ER+, ER/AGE low, LN+" group were further excluded to develop a classifier, see below for details.

Estrogen receptor level: Estrogen receptor gene expression level was measured by a 60mer oligo-nucleotide on a microarray. Since every individual sample was compared to a pool of all samples, the ratio to pool was used to measure the relative level. A threshold of -0.65 on log<sub>10</sub>(ratio) was used to separate the ER+ group from ER<sup>-</sup> group. See van't Veer et al., Nature 415:530 (2002).

Grouping by ER vs. age distribution: Samples were not uniformly distributed in ER vs. age space among the ER+ samples (FIG. 2). First, it appeared that the ER level increases with age, as there were few samples from young individuals having a high ER expression level. For example, in the 35 to 40 years age group, samples having a log(ratio) of ER > 0.2 are relatively few as compared to the 40 to 45 age group. In the set of samples used, the  $40 < age \le 45$  group contains 30 samples having log(ratio) ER values between -0.2 to 0.2, and 28 samples having values greater than 0.2, whereas the  $35 < age \le 40$  group includes 24 samples with values between -0.2 to 0.2, but only 6 samples with values of greater than 0.2 (Fisher's exact test P-value: 1%). The increasing ER level with age may simply due to the fact that estrogen levels decrease with age, and the estrogen receptor level rises in compensation.

There also appear to be at least two groups of patients, as indicated by the solid line separating the two in FIG. 2A. A bimodality test of the separation indicated by the solid line yielded P-value  $< 10^{-4}$ . Each of these two groups has its own trend between the ER level and age. The solid line can be approximated by ER = 0.1(age - 42.5). Patients having values

above the solid line are referred to as the "ER/AGE high" group, and the patients below the line as the "ER/AGE low" group.

Prognosis in each group:

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Feature selection and performance evaluation: For the prognosis in each group, non-informative genes were filtered in each group of patients. Specifically, only genes with  $|\log_{10}(\text{ratio})| > \log_{10}(2)$  and P-value (for  $\log(\text{ratio}) \neq 0$ ) < 0.01 in more than 3 experiments were kept. This step removed all genes that never had any significant change across all samples. The second step used a leave-one-out cross validation (LOOCV) procedure to optimize the number of reporter genes (features) in the classifier and to estimate the performance of the classifier in each group. The feature selection was included inside the loop of each LOOCV process. The final "optimal" reporter genes were selected using all of the "training samples" as the result of "re-substitution" because one classifier was needed for each group.

Selection of training samples: Only the samples from patients who had metastases within 5 years of initial diagnosis (3 years for "ER", sporadic" samples; i.e., the "poor outcome" group), or who were metastases-free with more than 5 years of follow-up time (i.e., the "good outcome" group, were used as the training set. Because the average expression levels for informative genes among patients who were metastasis-free, or who had early metastases, were used as expression templates for prediction, the training samples for the ER+ samples were further limited to those samples that could also be correctly classified by the first round of LOOCV process. For the "ER", sporadic" samples, no such iteration was done because no improvement was observed. For the "ER", BRCA1" samples, an iteration was done, but the training samples in the second iteration were limited to the correctly predicted good outcome samples from the first round of LOOCV, and all the poor outcome samples with metastases time less than 5 years. Further limitation of the poor outcome samples was not performed because of the small number of poor samples and the absence of improvement by such limitation. In the first round of LOOCV, except for the "ER", sporadic" group, the number of features was fixed at 50 genes. A patient was predicted to have a favorable outcome, that is, no metastases within five years of initial diagnosis, if the expression of the reporter genes in a sample from the individual was more similar to the "average good profile" than the "average poor profile", and a poor outcome, that is, a metastasis within five years, if

the expression of the reporter genes in the sample was more similar to the "average poor profile" than the "average good profile".

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The justification for such an iteration operation is threefold. First, biologically, there are always a few individuals with specific reasons (different from the vast majority) to stay metastases free or to develop metastases. Second, statistically, most groups of patients include outliers that don't follow the distribution of the majority of samples. Third, methodologically, the iteration operation is very similar to the idea of "boosting", but instead of increasing the weights of the samples predicted wrong, emphasis is placed on the well behaved samples for selecting features and training the classifier. Since this process was used to select "training samples", and the performance was evaluated using the LOOCV (including the feature selection) after the training sample being fixed, there is no issue of over-fitting involved in our procedures. This method of iteration is thus more likely to reveal the dominant mode to metastases within each group.

Error rate and odds ratio, threshold in the final LOOCV: Unless otherwise stated, the error rate is the average error rate from two populations: (1) the number of poor outcome samples misclassified as good outcome samples, divided by the total number of poor outcome samples; and (2) the total number of good outcome samples misclassified as poor outcome samples, divided by the total number of good samples. Two odds ratios are reported for a given threshold: (1) the overall odds ratio and (2) the 5 year odds ratio. The 5 year odds ratio was calculated from samples from individuals that were metastases free for more than five years, and who experienced metastasis within 5 years. The threshold was applied to cor1 – cor2, where "cor1" stands for the correlation to the "average good profile" in the training set, and "cor2" stands for the correlation to the "average poor profile" in the training set.

The threshold in the final round of LOOCV was defined using the following steps: (1) For each of the N sample i left out for training, features based on the training set were selected. (2) Given a feature set, an incomplete LOOCV with N-1 samples was performed (only the "average poor profile" and "average good profile" is varied depending on whether the left out sample is in the training set or not). (3) The threshold based on the minimum error rate from N-1 samples was determined, and that threshold was assigned to sample i in step (1). (4) The median threshold from all N samples was taken, and designated the final threshold. FIGS. 3-7 present detailed information about classifiers for the 5 groups: "ER—,

sporadic", "ER", BRCA1", "ER+, ER/age high", "ER+, ER/age low, LN", "ER+, ER/age low, LN+". Tables 1-5 (see Section 5.3) list the final optimal reporter genes for each of the 5 classifiers for each of the five patient subsets. Table 6, below, summarizes the performance of each of the five classifiers together with thresholds used in each classifier.

5 Table 6. Performance of classifiers for each patient subset.

Classifier	Optimal # of Genes	(C1-C2) Threshold	Metastasis Free	# of Samples	TP	FP	FN	TN	Odds Ratio	95% C.I.
ER+, ER/AGE	50	1.22	Overall	83	31	14	5	33	14.61	4.71- 45.36
high			5 year	71	24	11	3	33	24.00	
ER+, ER/AGE low, LN-	65	0.38	Overall	81	14	6	6	55	21.39	5.98- 76.52
1011, 211			5 year	73	11	4	5	53	29.15	6.73- 126.33
ER+, ER/AGE low, LN+	50	-0.12	Overall	56	7	4	6	39	11.38	2.54- 50.94
1011, 2.11			5 year	48	5	4	3	36	15.00	2.57- 87.64
ER-, sporadic	20	-0.01	Overall	52	18	7	7	29	7.35	2.16- 25.04
			5 year	45	16	5 5	6	18	9.60	2.45- 37.58
ER-, BRCA1	10	-0.37	Overall	34	6	3	3	22	14.67	2.34- 92.11
			5 year	22	2 6	3 1	3	12	24.00	2.04- 282.68

TP: True positive FP: False positive FN: False negative TN: True negative

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Classification method: All classifiers described herein, feature selection and optimization were included inside the LOOCV loop. Classifier performance was based on the LOOCV results. The profile based on the selected features from each patient was compared to the "average good profile" and "average poor profile" (by correlation) to determine its predicted outcome.

Correlation calculation: The correlation between each gene's expression log(ratio) and the endpoint data (final outcome) was calculated using the Pearson's correlation coefficient. The correlation between each patient's profile and the "average good profile" and "average poor profile" is the cosine product (no mean subtraction).

Results:

We employed the comprehensive prognosis strategy on microarray expression profiles of 311 patients diagnosed before age 55 that were all part of previous studies establishing and validating a 70-gene prognosis profile. See van 't Veer et al., Nature 415:530 (2002); van de Vijver et al., N. Engl. J. Med. 347:1999 (2002). In addition, 14 known BRCA1 samples from the Nature study were included in defining the prognosis classifier for the BRCA1 group. The overview of the stratifications is shown in FIG. 1. In each of the patient subsets, prognosis classifiers were developed and performance was evaluated by leave-one-out cross-validation. The biological make up of each of the classifiers was also examined.

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During the process to decide whether a particular clinical parameter should be used for the next stratification, our objectives were twofold: (1) identification of homogeneous prognosis patterns; and/or (2) improved prognosis in the subsets. There is a subtle balance between these two objectives because smaller groups will likely lead to uniform patterns within the group but have increasingly limited predictive power. With the exception of the *BRCA1* subset, each group in our stratification contained 50 or more samples.

The first layer of stratification was based on the estrogen receptor level. We and others previously observed that estrogen receptor expression has a dominant effect on overall gene expression in breast cancer as seen in hierarchical clustering. van 't Veer et al., Nature 415:530 (2002); Perou et al., Nature 406:747 (2000); Gruvberger et al., Cancer Res. 61:5979 (2001). In our previous analysis up to 2500 genes are significantly correlated with ER expression levels in tumor. van 't Veer et al., Nature 415:530 (2002). According to the threshold defined previously (van de Vijver et al., N. Engl. J. Med. 347:1999 (2002)), samples were first divided into two groups according to the estrogen receptor level as measured by the oligo probe (accession number: NM\_000125) on the array; samples with log(ratio) > -0.65 belong to the ER+ group, and the rest belong to ER group). This resulted in 239 samples in the ER+ group and 72 samples in the ER group.

In the ER+ branch we observed that when displaying ER expression level as a function of age, at least two subgroups appear to exist. (In general, any bimodality in the clinical data is useful.) We therefore decided to stratify the tumors according this bimodality (see FIG. 2). The group of ER+ patients having a high ER/AGE ratio was designated the "ER/AGE high" group (83 samples), and the remaining group of patients was designated "ER/AGE low" group (156 samples).

Within the "ER/age high" group, we identified a group of prognosis reporter genes that highly correlated with the outcome (see Table 3). Moreover, the expression of these genes appeared to be very homogeneous, as indicated by high similarity in expression among those genes. See FIG 2A. Leave-one-out cross validation including reporter selection yielded an odds ratio of 14.6 (95%CI: 4.7-45.4) and 5 year odds ratio of 24.0 (95%CI: 6.0-95.5). Examination of those reporter genes reveals they are mostly the cell cycle genes which are highly expressed in the poor outcome tumors. It is worth noting that even though this group includes LN+ and LN- individuals, and mixed treatment, the incidence of distant metastases is predicted by a biologically uniform set of genes, possibly indicating that proliferation is the prime driving force for disease progression. Also even though variation in these genes is observed in other tumor subgroups this is generally not correlated with outcome in those settings (see below).

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In the "ER/age low" group, no predictive pattern was found in the whole group; thus, the samples were further stratified into LN- (81 samples, referred to as "ER/age low LN-") and LN+ (75 samples, referred to as "ER/age low LN+") group.

Within the "ER/age low LN" group, a group of genes was identified that was uniformly co-regulated, and which correlated with the outcome. Leave-one-out cross-validation (including feature selection) yielded an odds ratio of 21.4 (95% CI: 6.0-76.5) and 5 year odds ratio of 29.2 (95% CI: 6.7-126.3). This group of genes is also enriched for individual biological functions (see below).

For the "ER/age low LN+" subset, an informative set of genes (see Table 4) was obtained after exclusion of several samples from older individuals having low ER levels. These samples are indicated in FIG. 2A as those lying below the dashed line (approximated as ER < 0.1\*(age-50). 56 samples remained after the exclusion. This sample set allowed the identification of a group of genes with a highly homogeneous pattern that is useful for prognosis (overall odds ratio: 11.4 (2.5-50.9), 5 year odds ratio: 15.0 (2.6-87.6)). This suggests again that ER vs. age is an important combination for stratifying breast cancer patients. The reporter genes involved in this classifier also correlated with the clinical measure of the degree of lymphocytic infiltration (data not shown). The prediction in this group is not as strong as other positive groups, which may indicate the primary tumor carries weaker information about the metastases for this group of patients, and the metastases may be started from or influenced by tumors already in lymph nodes.

In the ER<sup>-</sup> branch, because a portion of the samples are "BRCA1-like," it is natural to divide the samples into "BRCA1-like" and "sporadic like". To perform the classification, the BRCA1/sporadic tumor type classifier described in Roberts et al., "Diagnosis and Prognosis of Breast Cancer Patients," International Publication No. WO 02/103320, which is hereby incorporated by reference in its entirety, to segregate the ER<sup>-</sup> cohort samples. 52 out of the 72 ER<sup>-</sup> samples were found to be "sporadic like" and 20 were found to be "BRCA1-like". Interestingly, the "sporadic like" group is enriched for erbb2 mutations (data not shown).

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Within the "ER", sporadic" group, no homogeneous prognosis pattern was identified; however, 20 genes were identified that are highly predictive of the tumor outcome (see Table 2). Leave-one-out cross-validation including feature selection yielded an odds ratio of 7.4 (95% CI 2.2-25.0) and 5 year odds ratio 9.6 (2.5 – 37.6). This result represents a significant improvement in prognosis compared to the previously-identified 70 gene prognosis classifier (see Roberts et al., International Publication No. WO 02/103320; van 't Veer et al., Nature 415:530 (2002)) which has no within-group prognostic power for the ER patient subset. The fact that 20 genes predict outcome and that there is no homogeneous (and apparent biological) pattern in this group probably indicates multiple mechanisms of metastasis in this group. Gene annotation indicates that genes included may be involved in invasion, energy metabolism and other functions.

For the "ER", *BRCA1*-like" group, we added 14 BRCA1 mutation carrier samples from our previous study to increase the number of samples. Those 14 extra samples also satisfy our selection criteria: ER negative and age less than 55 years. The leave-one-out cross validation process identified 10 genes that are predictive of final outcomes. The overall odds ratio is 14.7 (95% CI: 2.3-92.1) and the 5 year odds ratio is 24.0 (95% CI: 2.0-282.7).

Because no homogeneous gene expression patterns were found in ER branch, the predictive power of those genes was further validated. One means of further validation was to review the different classifier gene sets for biological interpretations and to identify genes within each classifier that gave indications as to the origins of the tumors.

The "ER+, ER/AGE high" group yielded a classifier highly enriched for cell cycle genes with both G1/S and G2/M phases represented. In this group, over-expression of 46 of the 50 genes is associated with disease progression including all the known cell cycle genes. This is consistent with rapid growth being the determinant of metastatic potential. Four

genes in this classifier are anti-correlated with outcome and cell cycle. One of these genes encodes follistatin, which binds to and inhibits activin and other members of the TGFβ family (Lin et al., Reproduction 126:133 (2003)), the members of which have many functions, including growth stimulation. Tumor grade also accurately predicts metastatic potential in this group (overall odds ratio: 5.9, 95% CI: 2.0-18.0, 5 year odds ratio: 12.5, 95% CI: 2.6-59.3) and is also correlated with the expression level of these genes, which is consistent with rate of growth being the primary determinant of disease progression. This set of genes has a significantly lower correlation with outcome in the other patient subsets, even though coordinate and similarly variable expression is seen. For example, many tumors in the "ER", sporadic" group have high cell cycle and low FST expression, but the expression of these genes in these groups is minimally correlated with outcome, indicating that growth is not the primary determinant of outcome here (see FIGS. 8A and 8B).

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The ER+, ER/AGE low, LN group yielded a classifier rich in both genes for glycolytic enzymes (12 of 56) and genes induced by hypoxia and/or angiogenesis (14 of 56) with 5 genes falling into both categories. These genes are positively correlated with poor outcome, implying that energy metabolism (glycolysis), angiogenesis and adaptation to hypoxia are critical pathways in this subgroup of tumors. None of these genes appear in the classifiers for the other patient subsets, and there is a much reduced predictive value of these genes in the other tumors, even though coordinate and similarly variable expression is seen (see FIG. 8C and 8D).

The implication of the above analyses is that certain well known functions (growth, angiogenesis, energy metabolism) are important in certain tumor types and not in others, and therefore therapies that target these functions will be likely be similarly effective in some tumor subgroups and not in others. For example therapies that target cell cycle progression, such as taxol or the vinca alkaloids, may be optimally effective in the ER+, ER/AGE high group, where overexpression of cell cycle genes predominates in the classifier. In contrast, tumor subgroups in which variation in cell cycle expression is not correlated with outcome may be less sensitive to taxol or the vinca alkaloids.

The "comprehensive prognosis" approach significantly improves the prediction error rate when compared with 70 gene classifier (Table 7). To make the comparison fair, we listed two sets of results from the 70 gene classifier. The first results from the use of the same threshold applied to all the patient subsets (threshold previously optimized for false

negative rate); the second one results from the use of a threshold optimized for each patient subset (optimized for average error rate). The comprehensive approach lowered the error rate by at least 6%.

Table 7. Average error rate for the patient subset approach compared with the previously-described 70 gene classifier.

Prognosis method	over all error rate	5 year error rate		
70 gene, fix thresh	30.90%	25.70%		
70 gene, opt thresh	28.60%	27.60%		
Comprehensive	21.50%	19.30%		

Fix thresh: use of a fixed threshold in the classifier as previously determined. Opt threshold: use of a threshold optimized for each sub-group. For the "ER/Age low, LN+" subgroup, 56 samples used for developing the classifier were included here, resulted in 306 samples in total.

## 6.2. EXAMPLE 2: IDENTIFICATION OF CHEMOTHERAPY RESPONSE SUBPOPULATION IN BREAST CANCER PATIENTS

Predicting responders to a treatment is extremely important in daily clinical therapies, in order to select the right medicine. It is also crucial for pharmaceutical companies running clinical trials on new medicines to target the right population for efficacy. This Example shows that, by combining clinical parameters with gene expression prediction, a subpopulation of patients with characteristics of "ER/age low" and a "poor signature" has an enhanced response to chemotherapy treatment. On the other hand, patients with a poor signature but do not respond to chemotherapy are potential target for clinical trials of new anti-cancer medicines.

#### Introduction

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Gene expression can be used to predict breast cancer outcome. A "70 gene" classifier (see Table 8) that can be used to identify patients with good outcome for avoiding overtreatment of chemotherapy was demonstrated (van 't Veer LJ, Dai H, van de Vijver MJ, et al., Gene expression profiling predicts clinical outcome of breast cancer, Nature 2002; 415: 530-536). This classifier has been verified by a large cohort of samples (van de Vijver MJ, He YD, van't Veer LJ, et al., A gene-expression signature as a predictor of survival in breast

cancer, N Engl J Med 2002; 347: 1999-2009). The result also implies that the treatment effect will be more significant within the "predicted poor" group since patients in the "predicted good" group are already very good, and may not improve further by additional treatment.

Recently, it has been demonstrated that ER+ patients can be further divided into subpopulations. The cell proliferation signature has a very strong prognostic power in a group of patients characterized by a high estrogen receptor levels relative to their ages (termed "ER/age high" group), but reduced predictive power in the "ER/age low" group and no predictive power in the ER- patients (U.S. Provisional Patent Application No. 60/550,810 by Dai et al., filed March 5, 2004, attorney docket no. 9301-229-888, which is incorporated by reference in its entirety).

#### Data set

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A cohort of 311 breast cancer samples were used (van 't Veer LJ, Dai H, van de Vijver MJ, et al., Gene expression profiling predicts clinical outcome of breast cancer, Nature 2002; 415: 530-536; van de Vijver MJ, He YD, van't Veer LJ, et al., A gene-expression signature as a predictor of survival in breast cancer, N Engl J Med 2002; 347: 1999-2009). Those samples were from patients younger than 55 years of age at the time of cancer diagnosis. Among them, 110 patients received chemotherapy.

## Results

The following section shows that by combining the microarray prediction with the patient stratification based on clinical parameters, a subpopulation of breast cancer patients with enhanced chemotherapy treatment response can be identified.

The treatment response was measured by the improvement in the metastasis free probability at 10 years after the diagnosis, between the treated patients and the untreated patients.

Chemotherapy has limited effect in breast cancer patients less than 55 years of age. Shown in Figure 9 is the metastasis free probability as a function of time after diagnosis (Kaplan-Meier plot) for the entire set of patients. Patients were divided into two groups according to whether or not they received chemotherapy. Within the entire set of 311

patients younger than 55 years, 110 received chemotherapy. The treatment effect is very small, with the difference in 10 year metastasis free probability being only ~3%.

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The "70 gene" prognostic classifier enhances the treatment effect. The purpose of the "70 gene" prognostic classifier (Table 8) was to save patients from unnecessary chemotherapy if they have a "good signature". In other words, there may not be further benefit to patients in a good prognosis patient group if they potentially have a very good outcome. Hence, treatment should be given to the "predicted poor" group since they could potentially benefit from it. Results in Figure 10 validate the idea. Figure 10a displays the treatment effect of the "predicted good" group. The group was selected by high correlation to the "average expression of good outcome patients" as determined by 70 gene marker set (column C1 of Table 1) with correlation > 0.5. There were 84 patients within this group, and 44 received chemotherapy. The treatment showed no positive effect in reducing the metastasis rate.

However, the patients with "poor signature" demonstrate an improved treatment response (Figure 10b) as compared to Figure 9. There are 226 patients with "poor signature" (correlation < 0.5), and 81 received chemotherapy. The 10 year metastasis free probability for those received chemotherapy is 9% higher than those did not.

In this example, a threshold of 0.5 in correlation was used to select patients with "poor signature". This threshold is higher than the threshold of 0.4 that was used previously (van 't Veer LJ, Dai H, van de Vijver MJ, et al., Gene expression profiling predicts clinical outcome of breast cancer, Nature 2002; 415: 530-536; van de Vijver MJ, He YD, van't Veer LJ, et al., A gene-expression signature as a predictor of survival in breast cancer, N Engl J Med 2002; 347: 1999-2009), for the purpose of keeping as many patients in the "predicted poor" group as possible for further stratification. The results were very similar if the original threshold of 0.4 was used.

<u>Limiting to ER+ patients gains extra treatment response</u>. Breast cancer patients with positive estrogen receptor status (ER+) have a distinctively different gene expression pattern than those with negative status(ER-). The "70 gene" classifier has a good prognostic power in the ER+ patients, but little prognostic power in the ER- patients (almost all the ER-patients were predicted to have a poor outcome).

The treatment effect is also very different for ER- patients than for ER+ patients with "poor signature". As shown in Figure 11a, there is no difference in metastasis rate between the treated and untreated patients in the ER- group.

The treatment effect for ER+ patients with a "poor signature" (Figure 11b) is further increased when compared to Figure 10b. There are 155 patients in this group, and 60 received chemotherapy. The metastasis free probability at 10 years for patients with treatment is 14% higher than those without.

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"ER/age high" group is ideal for chemotherapy treatment. Recently, it was discovered that the ER+ patients can be further divided into two groups according to their ER levels relative to the age at diagnosis. As shown in Figure 12, patients with relatively high ER level to their age are termed "ER/AGE high" group, and patients with relatively low ER level to their age are termed as "ER/AGE low" group. The "ER/AGE high" group has a relatively poor outcome compared to the "ER/AGE low" group, but the outcome in the "ER/AGE high" group can be accurately predicted by the cell proliferation genes. The same set of genes has a reduced prognostic power in the "ER/AGE low" group.

As shown in Figure 13, chemotherapy has little effect in the patients of "ER/AGE high" group with a "poor signature". Excluding this group resulted in a further improved effect in the "ER/AGE low" group. In the "ER/AGE low" group, there are 101 patients with "poor signature", and 39 received chemotherapy. The difference in metastasis free probability at 10 years between the treated and untreated group is 20%.

In summary, by progressively excluding "non-responsive" patient groups as defined by prognosis signature and clinical parameters (ER and age), it is possible to improve the treatment effect (as reported by the increased metastasis free probability at 10 years after diagnosis) from 3% to 20% (Table 9). Roughly, for patients younger than 55 years, there are about 1/3 of patients that do not need a treatment ("good signature"), about 1/3 patients do not respond to the chemotherapy (ER- and "ER/AGE high") and about 1/3 patients are "responders" that should be treated with chemotherapy ("ER/AGE low").

Table 9: Treatment effect in various patient groups

	All patients	Patients with "poor signature"	ER+ & "poor signature"	ER+, ER/AGE high & "poor signature"
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Difference in 10 year metastasis free 3% probability with/without chemo	9%	14%	20%
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## 7. REFERENCES CITED

All references cited herein are incorporated herein by reference in their entirety and for all purposes to the same extent as if each individual publication or patent or patent application was specifically and individually indicated to be incorporated by reference in its entirety for all purposes.

Many modifications and variations of the present invention can be made without departing from its spirit and scope, as will be apparent to those skilled in the art. The specific embodiments described herein are offered by way of example only, and the invention is to be limited only by the terms of the appended claims along with the full scope of equivalents to which such claims are entitled.

## WHAT IS CLAIMED IS:

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1. A method for predicting responsiveness of a breast cancer patient to chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method comprising predicting said patient to exhibit

- 10 (a) enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER<sup>+</sup>, and said ER/AGE is low; or
  - (b) reduced response to chemotherapy as compared to patients in the general population of breast cancer patients if (i) said ER level is ER, or (ii) said cellular constituent profile is a poor prognosis profile, and said ER level is ER, and said ER/AGE is high;
  - wherein said cellular constituent profile is classified as a poor prognosis profile if said cellular constituent profile has a low similarity to a good prognosis template or has a high similarity to a poor prognosis template, said good prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of good outcome patients and said poor prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of poor outcome patients, wherein a good outcome patient is a breast cancer patient who has non-occurrence of metastases within a first period of time after initial diagnosis and a poor outcome patient is a patient who has occurrence of metastases within a second period of time after initial diagnosis.
  - 2. The method of claim 1, said method comprising predicting said patient to exhibit enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER<sup>+</sup>, and said ER/AGE is low.

3. The method of claim 1, said method comprising predicting said patient to exhibit reduced response to chemotherapy as compared to patients in the general population of breast cancer patients if said ER level is ER<sup>-</sup>.

4. The method of claim 1, said method comprising predicting said patient to exhibit reduced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER<sup>+</sup>, and said ER/AGE is high.

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- 5. The method of claim 1, further comprising determining said cellular constituent profile, said ER level, and/or, said ER/AGE.
- 6. The method of claim 5, wherein said cellular constituent profile comprises measurements of a plurality of transcripts in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of poor outcome patients.
  - 7. The method of claim 6, wherein said cellular constituent profile is a differential expression profile comprising differential measurements of said plurality of transcripts in said sample derived from said patient versus measurements of said plurality of transcripts in a control sample.
  - 8. The method of claim 1, wherein said cellular constituent profile comprises measurements of a plurality of protein species in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of poor outcome patients.
  - 9. The method of claim 7, wherein measurement of each said transcript in said good prognosis template is an average of expression levels of said transcript in said plurality of good outcome patients.

10. The method of claim 9, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a correlation coefficient between said cellular constituent profile and said good prognosis template, wherein said correlation coefficient greater than a correlation threshold indicates a high similarity and said correlation coefficient equal to or less than said correlation threshold indicates a low similarity.

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- 11. The method of claim 9, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a distance between said cellular constituent profile and said good prognosis template, wherein said distance less than a given value indicates a high similarity and said distance equal to or greater than said given value indicates a low similarity.
  - 12. The method of claim 10, wherein said correlation threshold is 0.5.
- 13. The method of claim 12, wherein said ER level is determined by measuring an expression level of a gene encoding said estrogen receptor in said patient relative to expression level of said gene in said control sample, and wherein said ER level is classified as ER<sup>+</sup> if log10(ratio) of said expression level is greater than -0.65, and wherein said ER level is classified as ER<sup>-</sup> if log10(ratio) of said expression level is equal to or less than -0.65.
- 14. The method of claim 13, wherein said gene encoding said estrogen receptor is the estrogen receptor  $\alpha$  gene.
- 15. The method of claim 14, wherein said ER/AGE is classified as high if said ER level as measured by log10(ratio) is greater than  $c \cdot (AGE d)$ , and wherein said ER/AGE is classified as low if said ER level is equal to or less than  $c \cdot (AGE d)$ , wherein c is a coefficient, AGE is the age of said patient, and d is an age threshold.
  - 16. The method of claim 15, wherein said estrogen receptor level is measured by an oligonucleotide probe that detects a transcript corresponding to the gene having accession number NM\_000125, wherein said control sample is a pool of breast cancer cells of different patients, and wherein c = 0.1 and d = 42.5.
  - 17. The method of claim 16, wherein said control sample is generated by pooling together cDNAs of said plurality of transcripts from a plurality of breast cancer patients.

18. The method of claim 16, wherein said control sample is generated by pooling together synthesized cDNAs of said plurality of transcripts and said transcript of said gene encoding said estrogen receptor.

19. The method of claim 17, wherein said plurality of transcripts consists of
 transcripts corresponding to at least a portion of the set of genes listed in Table 8.

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- 20. The method of claim 19, wherein said plurality of transcripts consists of all transcripts corresponding to genes listed in Table 8.
- 21. The method of claim 20, wherein said differential measurements is selected from the group consisting of xdev, log(ratio), error-weighted log(ratio), and mean subtracted log(intensity).
- 22. The method of claim 21, wherein said first period is 10 years and said second period is 10 years.
- 23. The method of claim 22, wherein said patient is under the age of 55, and wherein each said good outcome patient and each said poor outcome patient are under the age of 55 at time of diagnosis of breast cancer.
- 24. A method for selecting a patient for enrollment in a clinical trial of a drug for treating breast cancer based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGR being a metric of said ER level relative to the age of said patient, said method comprising selecting a patient for inclusion in said clinical trial if (a) said ER level is ER<sup>-</sup>; or (b) said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high;
- wherein said cellular constituent profile is classified as a poor prognosis profile if said cellular constituent profile has a low similarity to a good prognosis template or has a high similarity to a poor prognosis template, said good prognosis template comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of good outcome patients and said poor prognosis template

comprising measurements of said plurality of cellular constituents representative of levels of said cellular constituents in a plurality of poor outcome patients, wherein a good outcome patient is a breast cancer patient who has non-occurrence of metastases within a first period of time after initial diagnosis and a poor outcome patient is a breast cancer patient who has occurrence of metastases within a second period of time after initial diagnosis.

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- 25. The method of claim 24, said method comprising selecting a patient for inclusion in said clinical trial if said ER level is ER.
- 26. The method of claim 24, said method comprising selecting a patient for inclusion in said clinical trial if said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high.
- 27. The method of claim 24, further comprising determining said cellular constituent profile, said ER level, and/or, said ER/AGE.
- 28. The method of claim 27, wherein said cellular constituent profile comprises measurements of a plurality of transcripts in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of poor outcome patients.
- 29. The method of claim 28, wherein said cellular constituent profile is a differential expression profile comprising differential measurements of said plurality of transcripts in said sample derived from said patient versus measurements of said plurality of transcripts in a control sample.
- 30. The method of claim 24, wherein said cellular constituent profile comprises

  measurements of a plurality of protein species in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of poor outcome

  patients.

31. The method of claim 29, wherein measurement of each said transcript in said good prognosis template is an average of expression levels of said transcript in said plurality of good outcome patients.

32. The method of claim 31, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a correlation coefficient between said cellular constituent profile and said good prognosis template, wherein said correlation coefficient greater than a correlation threshold indicates a high similarity and said correlation coefficient equal to or less than said correlation threshold indicates a low similarity.

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- 33. The method of claim 31, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a distance between said cellular constituent profile and said good prognosis template, wherein said distance less than a given value indicates a high similarity and said distance greater than said given value indicates a low similarity.
  - 34. The method of claim 32, wherein said correlation threshold is 0.5.
- 35. The method of claim 34, wherein said ER level is determined by measuring an expression level of a gene encoding said estrogen receptor in said patient relative to expression level of said gene in said control sample, and wherein said ER level is classified as ER<sup>+</sup> if log10(ratio) of said expression level is greater than -0.65, and wherein said ER level is classified as ER<sup>-</sup> if log10(ratio) of said expression level is equal to or less than -0.65.
- 36. The method of claim 35, wherein said gene encoding said estrogen receptor is the estrogen receptor α gene.
  - 37. The method of claim 36, wherein said ER/AGE is classified as high if said ER level is greater than  $c \cdot (AGE d)$ , and wherein said ER/AGE is classified as low if said ER level is equal to or less than  $c \cdot (AGE d)$ , wherein c is a coefficient, AGE is the age of said patient, and d is an age threshold.
  - 38. The method of claim 37, wherein said estrogen receptor level is measured by an oligonucleotide probe that detects a transcript corresponding to the gene having accession number NM\_000125, wherein said control sample is a pool of breast cancer cells, and wherein c = 0.1 and d = 42.5.

39. The method of claim 38, wherein said control sample is generated by pooling together cDNAs of said plurality of transcripts from a plurality of breast cancer patients.

- 40. The method of claim 38, wherein said control sample is generated by pooling together synthesized cDNAs of said plurality of transcripts and said transcript corresponding to said gene encoding said estrogen receptor.
- 41. The method of claim 39, wherein said plurality of transcripts consists of transcripts corresponding to at least a portion of the set of genes listed in Table 8.

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- 42. The method of claim 41, wherein said plurality of genes consists of all transcripts corresponding to genes listed in Table 8.
- 43. The method of claim 42, wherein said differential measurements is selected from the group consisting of xdev, log(ratio), error-weighted log(ratio), and mean subtracted log(intensity).
  - 44. The method of claim 43, wherein said first period is 10 years and said second period is 10 years.
  - 45. The method of claim 44, wherein said patient is under the age of 55, and wherein each said good outcome patient and each poor outcome patient are under the age of 55 at time of diagnosis of breast cancer.
    - 46. A method for identifying a breast cancer patient as a good or poor candidate for chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method comprising
- (a) determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is low, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is low, said breast cancer patient is identified as a good candidate for chemotherapy; or

(b) determining whether said ER level is ER, wherein if said ER level is ER, said the breast cancer patient is identified as a poor candidate for chemotherapy; or

(c) determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high, said breast cancer patient is identified as a poor candidate for chemotherapy.

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- 47. The method of claim 46, said method comprising determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is low, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is low, said breast cancer patient is identified as a good candidate for chemotherapy.
- 48. The method of claim 46, said method comprising determining whether said ER level is ER, wherein if said ER level is ER, said the breast cancer patient is identified as a poor candidate for chemotherapy.
- 49. The method of claims 46, said method comprising determining whether said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high, wherein if said cellular constituent profile is a poor prognosis profile, said ER level is ER<sup>+</sup>, and said ER/AGE is high, said breast cancer patient is identified as a poor candidate for chemotherapy.
- 50. The method of claim 46, further comprising determining said cellular constituent profile, said ER level, and/or, said ER/AGE.
  - 51. The method of claim 50, wherein said cellular constituent profile comprises measurements of a plurality of transcripts in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of transcripts representative of expression levels of said transcripts in said plurality of poor outcome patients.

52. The method of claim 51, wherein said cellular constituent profile is a differential expression profile comprising differential measurements of said plurality of transcripts in said sample derived from said patient versus measurements of said plurality of transcripts in a control sample.

- 53. The method of claim 50, wherein said cellular constituent profile comprises measurements of a plurality of protein species in a sample derived from said patient, wherein said good prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of good outcome patients, and wherein said poor prognosis template comprises measurements of said plurality of protein species representative of levels of said protein species in said plurality of poor outcome patients.
  - 54. The method of claim 52, wherein measurement of each said transcript in said good prognosis template is an average of expression levels of said transcript in said plurality of good outcome patients.
  - 55. The method of claim 54, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a correlation coefficient between said cellular constituent profile and said good prognosis template, wherein said correlation coefficient greater than a correlation threshold indicates a high similarity and said correlation coefficient equal to or less than said correlation threshold indicates a low similarity.

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- 56. The method of claim 55, wherein similarity of said cellular constituent profile to said good prognosis template is represented by a distance between said cellular constituent profile and said good prognosis template, wherein said distance less than a given value indicates a high similarity and said distance greater than said given value indicates a low similarity.
  - 57. The method of claim 56, wherein said correlation threshold is 0.5.
  - 58. The method of claim 57, wherein said ER level is determined by measuring an expression level of a gene encoding said estrogen receptor in said patient relative to expression level of said gene in said control sample, and wherein said ER level is classified as ER<sup>+</sup> if log10(ratio) of said expression level is greater than -0.65, and wherein said ER level is classified as ER<sup>-</sup> if log10(ratio) of said expression level is equal to or less than -0.65.

59. The method of claim 58, wherein said gene encoding said estrogen receptor is the estrogen receptor  $\alpha$  gene.

60. The method of claim 59, wherein said ER/AGE is classified as high if said ER level as measured by log10(ratio) is greater than  $c \cdot (AGE - d)$ , and wherein said ER/AGE is classified as low if said ER level is equal to or less than  $c \cdot (AGE - d)$ , wherein c is a coefficient, AGE is the age of said patient, and d is an age threshold.

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- 61. The method of claim 60, wherein said estrogen receptor level is measured by an oligonucleotide probe that detects a transcript corresponding to the gene having accession number NM\_000125, wherein said control sample is a pool of breast cancer cells, and wherein c = 0.1 and d = 42.5.
- 62. The method of claim 61, wherein said control sample is generated by pooling together cDNAs of said plurality of transcripts from a plurality of breast cancer patients.
- 63. The method of claim 61, wherein said control sample is generated by pooling together synthesized cDNAs of said plurality of transcripts and said transcript corresponding to said gene encoding said estrogen receptor.
- 64. The method of claim 61, wherein said plurality of transcripts consists of transcripts corresponding to at least a portion of the set of genes listed in Table 8.
- 65. The method of claim 64, wherein said plurality of genes consists of all transcripts corresponding to genes listed in Table 8.
- 66. The method of claim 65, wherein said differential measurements is selected from the group consisting of xdev, log(ratio), error-weighted log(ratio), and mean subtracted log(intensity).
  - 67. The method of claim 66, wherein said first period is 10 years and said second period is 10 years.
- 68. The method of claim 67, wherein said patient is under the age of 55, and wherein each said good outcome patient and each poor outcome patient are under the age of 55 at time of diagnosis of breast cancer.

69. The method of any one of claims 1-68, wherein said chemotherapy is carried out using the CMF combination comprising cyclophosphamide, methotrexate, and 5-fluorouracil.

- 70. A computer system comprising
- a processor, and

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- a memory coupled to said processor and encoding one or more programs,
  wherein said one or more programs cause the processor to carry out the method of any one of claims 1-68.
  - 71. A computer program product for use in conjunction with a computer having a processor and a memory connected to the processor, said computer program product comprising a computer readable storage medium having a computer program mechanism encoded thereon, wherein said computer program mechanism may be loaded into the memory of said computer and cause said computer to carry out the method of any one of claims 1-68.
  - 72. A method for predicting responsiveness of a breast cancer patient to chemotherapy based on one or more of the following (i) a cellular constituent profile comprising measurements of a plurality of cellular constituents in a sample derived from said patient, (ii) an ER level, said ER level being a level of an estrogen receptor transcript or estrogen receptor protein in a sample derived from said patient, wherein ER<sup>+</sup> designates a high ER level and ER<sup>-</sup> designates a low ER level, and (iii) an ER/AGE, said ER/AGE being a metric of said ER level relative to the age of said patient, said method comprising predicting said patient to exhibit
  - (a) enhanced response to chemotherapy as compared to patients in the general population of breast cancer patients if said cellular constituent profile is a poor prognosis profile, and said ER level is ER<sup>+</sup>, and said ER/AGE is low; or
- (b) reduced response to chemotherapy as compared to patients in the general

  25 population of breast cancer patients if (i) said ER level is ER, or (ii) said cellular constituent profile is a poor prognosis profile, and said ER level is ER, and said ER/AGE is high.

  wherein said cellular constituent profile is classified as a good prognosis profile if said cellular constituent profile predicts non-occurrence of metastases in said breast cancer patient within a predetermined period of time after initial diagnosis, and wherein said cellular

constituent profile is classified as a poor prognosis profile if said cellular constituent profile predicts occurrence of metastasis within said predetermined period of time.

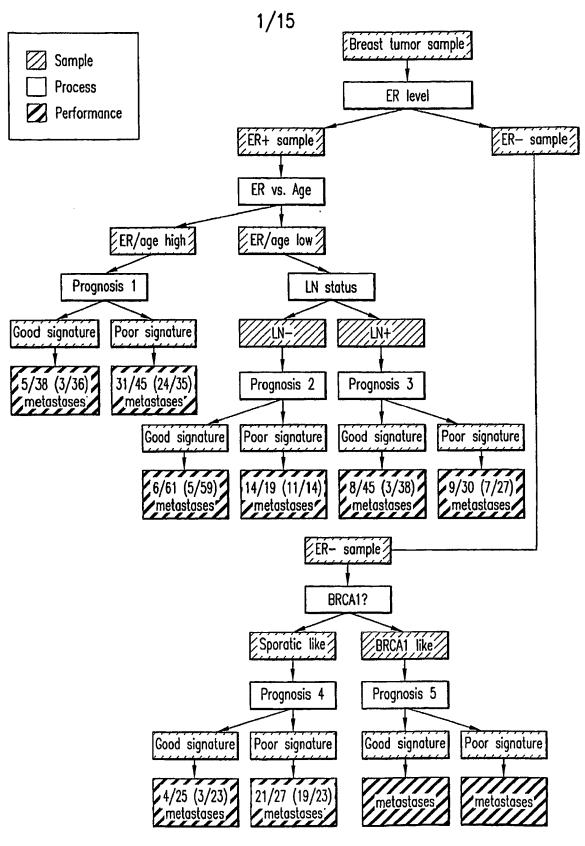
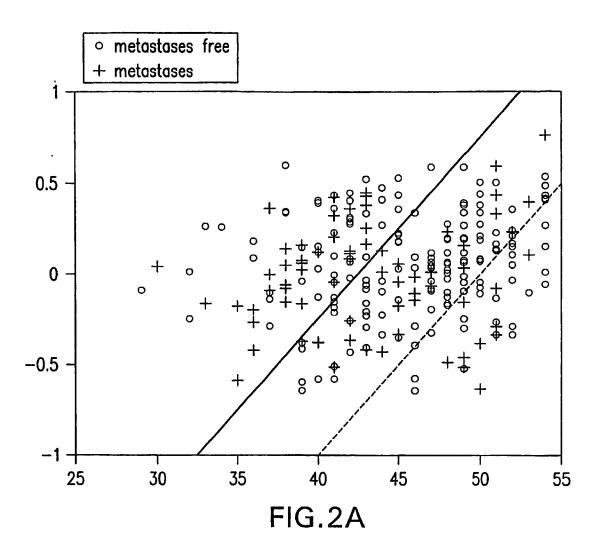
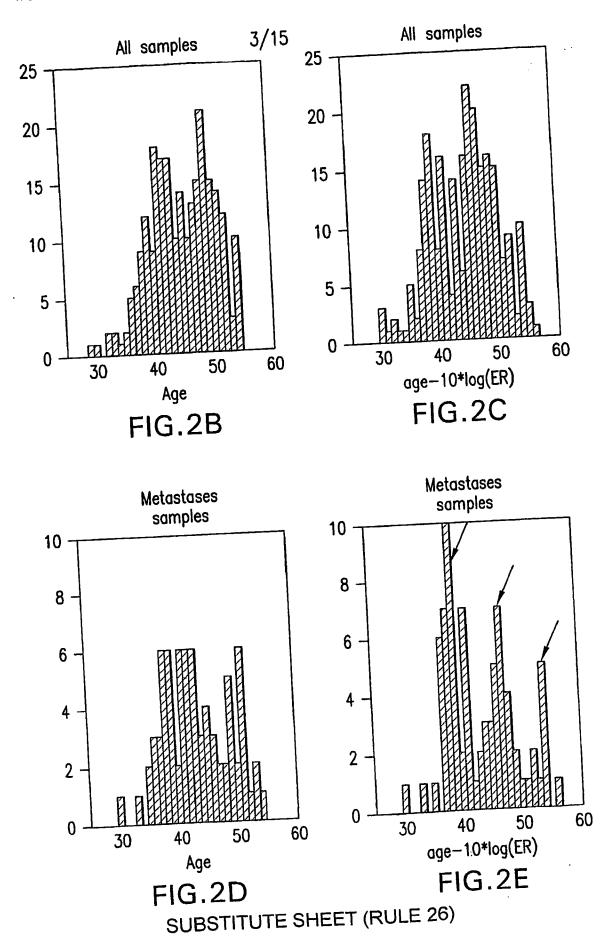
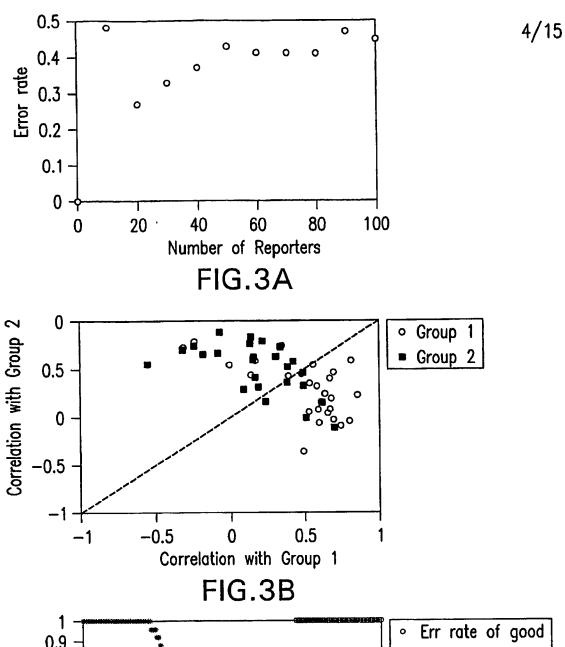


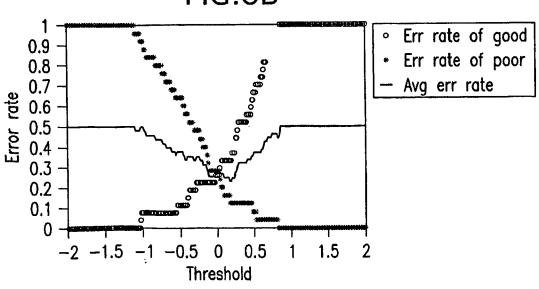
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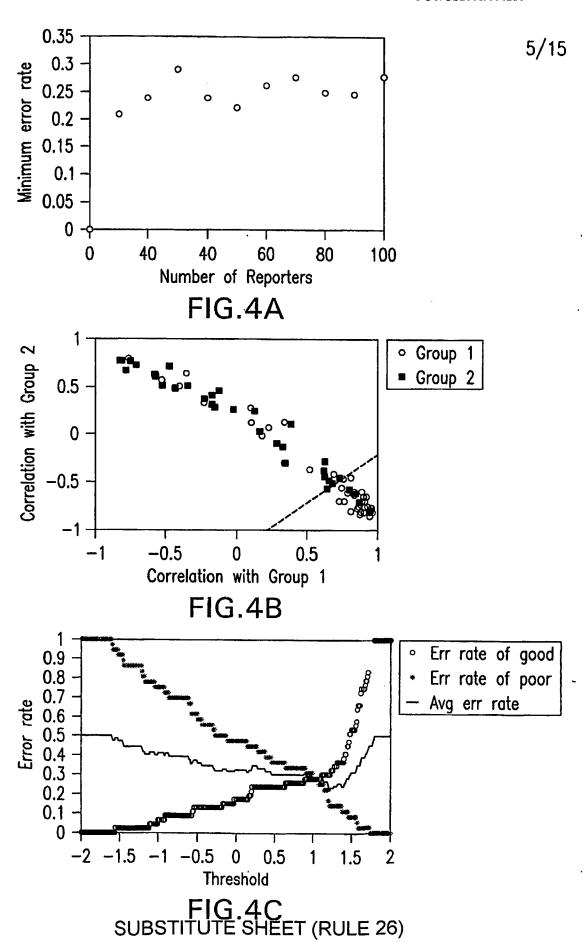


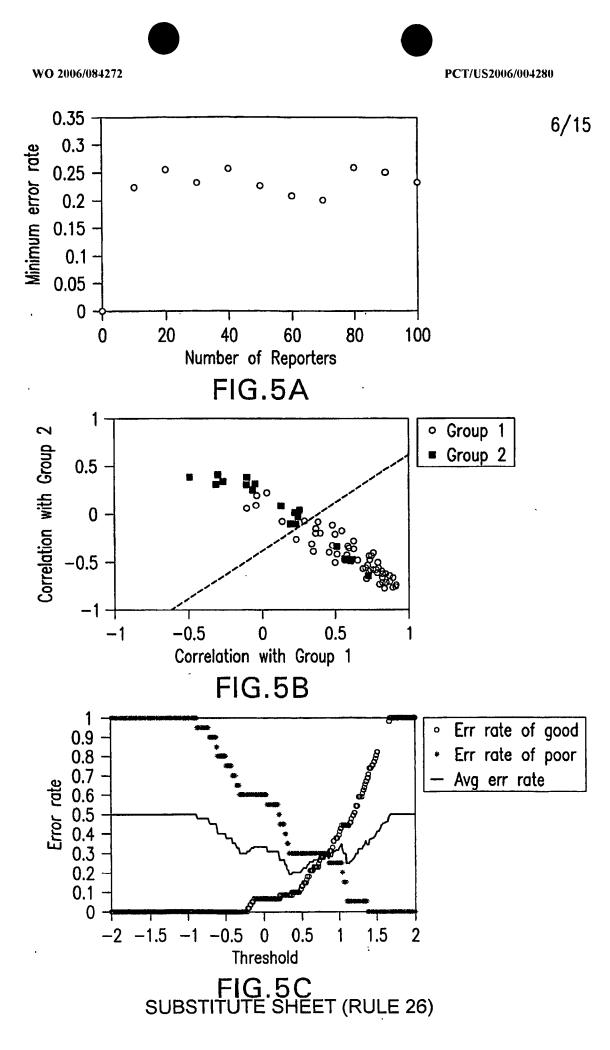


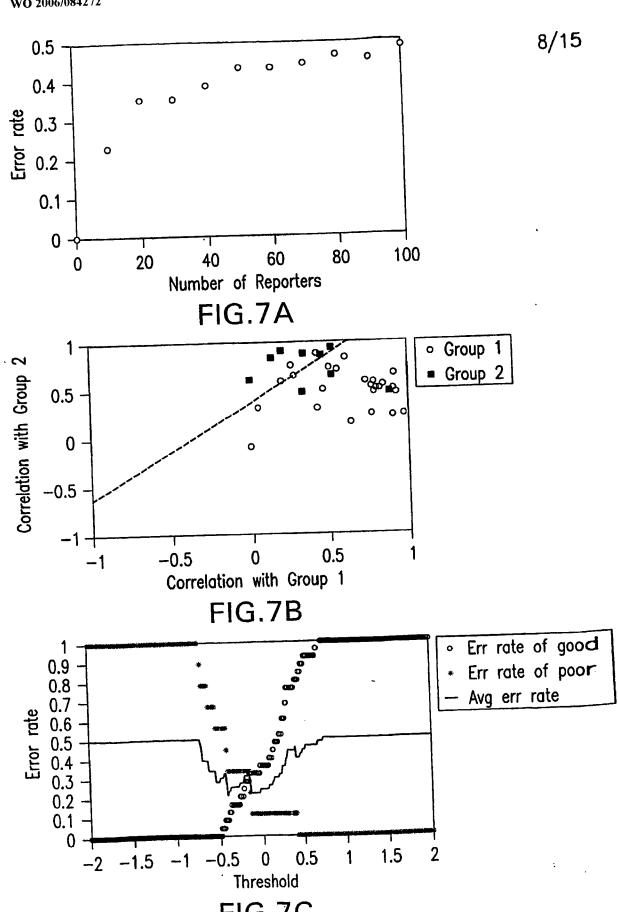




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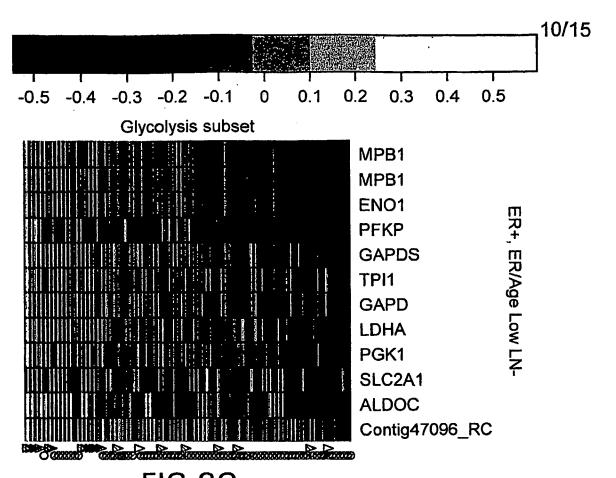


FIG.8C

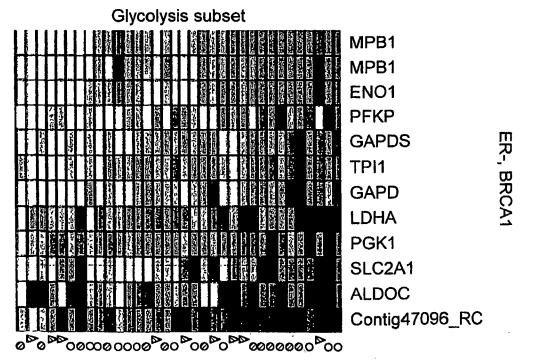
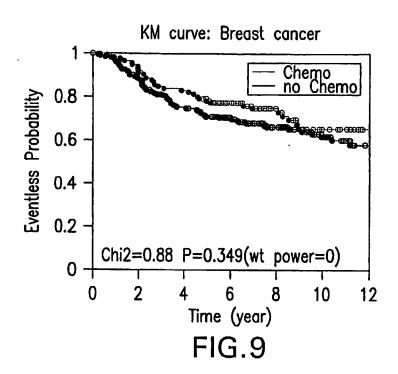
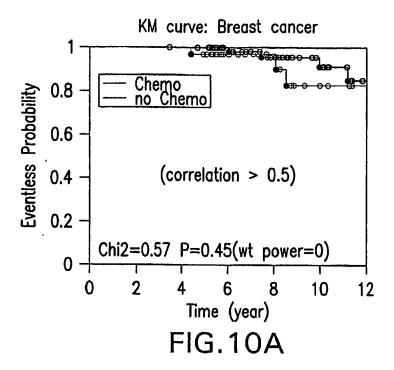
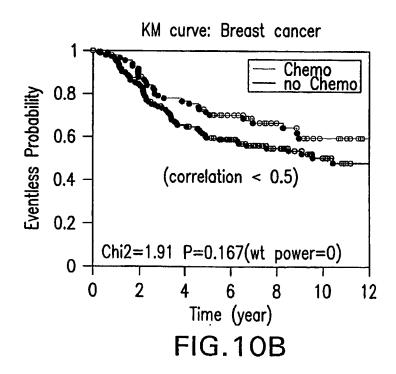


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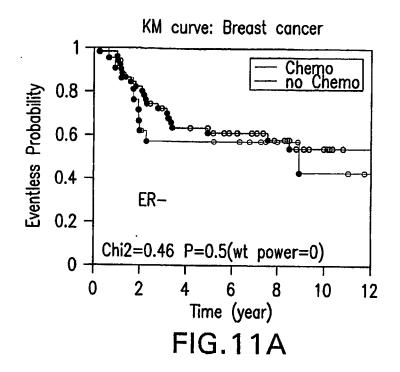


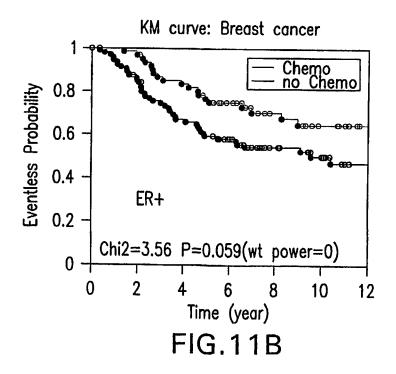
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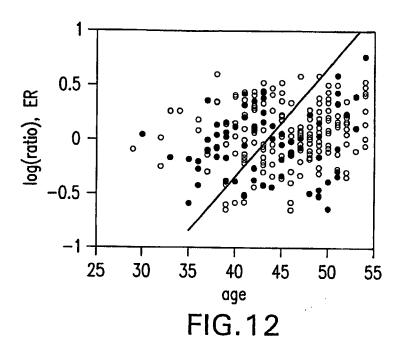




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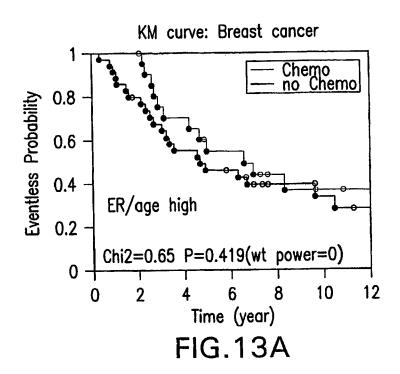


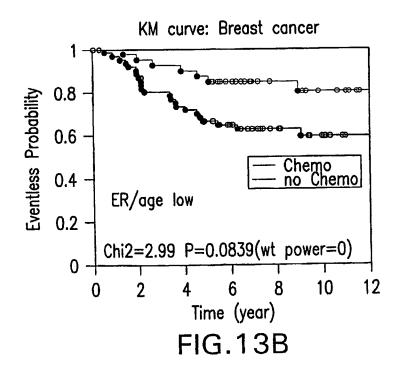


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## WO 2006/084272

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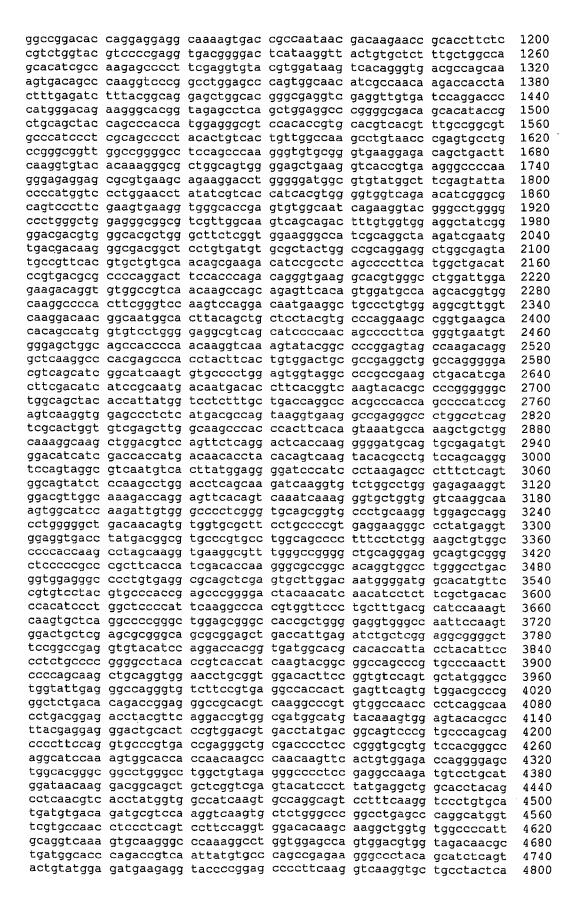
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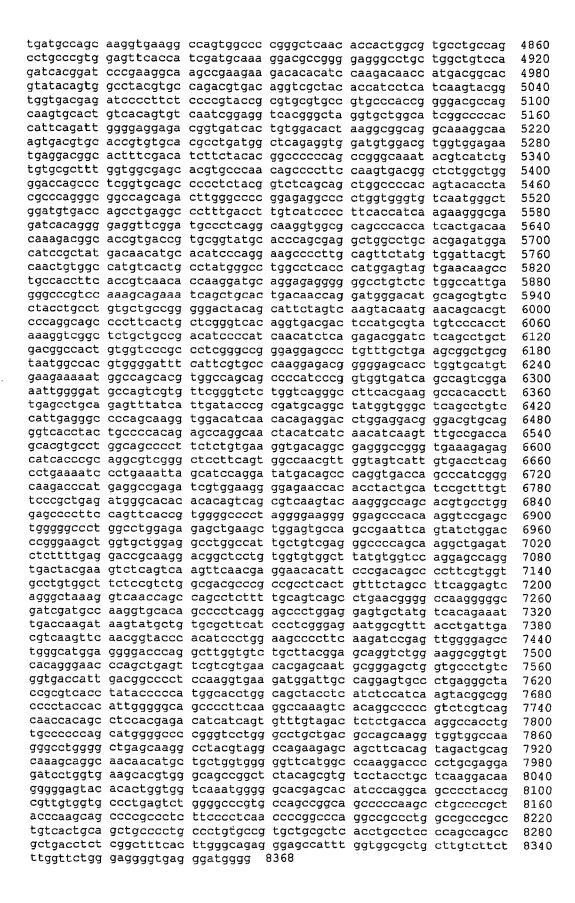
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### WO 2006/084272

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#### PCT/US2006/004280

### WO 2006/084272

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# WO 2006/084272

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### WO 2006/084272

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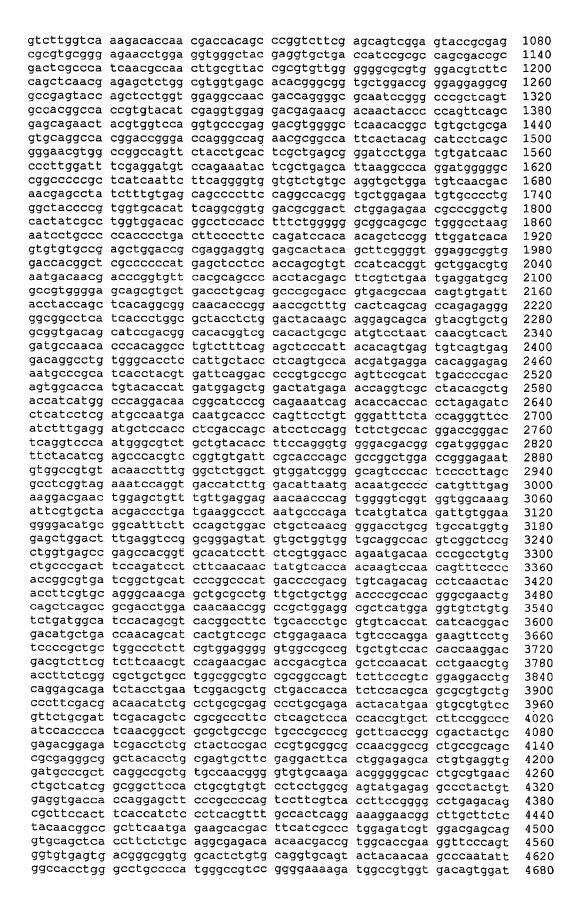
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# PCT/US2006/004280

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## PCT/US2006/004280

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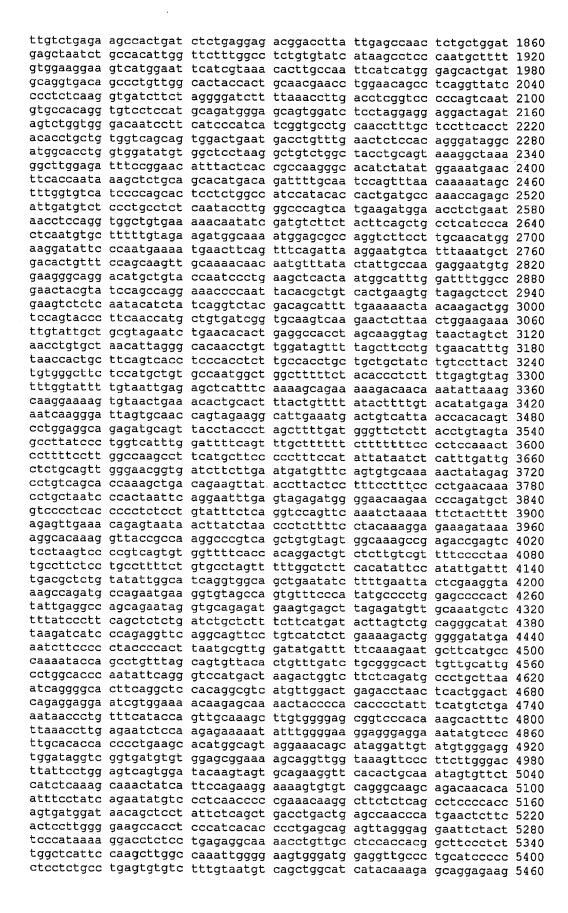
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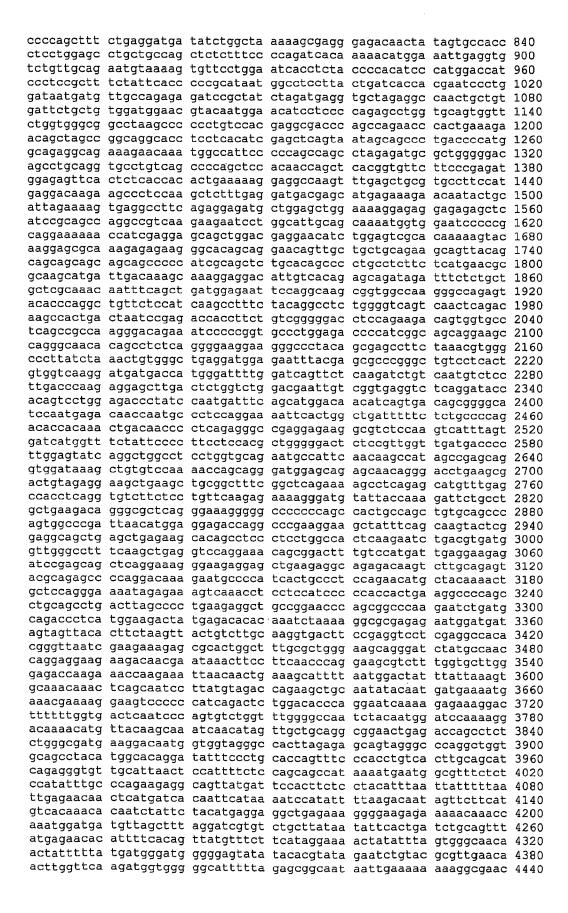
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